INFORMATION SYSTEMS DIVISION

RECIPIENT SUBSYSTEM MODERNIZATION PROJECT

Baseline System Requirements and Specifications (Printout)

January 18, 2011

Version .01

REVISION HISTORY

Version Number	Date	Reviewer	Comments
Version 0.1	1/20/2011	Napier	Database Printout

1.0 Common Administration

1.1 System Functionality

1.1.1 General

1. The system shall be a comprehensive automated case management tool that meets the needs of all staff (including workers and their supervisors, whether employed by the State, County, or contracted private providers). Key: 59784   XRef: CAS1

2. The system shall support all system requirements as define by the requirements specification document. Key: 59787   XRef: CAS2

3. The system shall support all MITA capabilities. Key: 59795   XRef: CAS3

4. The system shall support all CMS certification standards. Key: 59794   XRef: CAS4

5. The system shall provide for the full protection al all applicant/recipients' rights to privacy and confidentiality through effective internal and external security controls that meet or exceed legal requirements, federal regulations (e.g. HIPPA), State official regulations and agency policies on the subject. Key: 59788   XRef: CAS5

6. The system shall provide the capability to pilot new policy or policy changes by program, by location(s), by timeframes. Key: 59785   XRef: CAS6

7. The system shall have the ability to freeze data at Agency pre-determined points in the life of a case to prevent workers from modifying that data after a certain period of time or after a specific action has been completed on the record. Key: 59783   XRef: CAS7

8. The system shall have show/hide or expand/collapse buttons Key: 59793   XRef: CAS7.1

9. The system shall display complex information (i.e. help information) in an easy to read format. Key: 59789   XRef: CAS7.2

10. The system shall have the ability to display task and actions from multiple screens in a single page view. Key: 59786   XRef: CAS7.3

11. The system shall be retrieved by anyone with security access regardless of location. Key: 59792   XRef: CAS7.4

12. The system shall feature customized menu link based on the access rights for workers. Key: 59791   XRef: CAS7.5

13. The system shall be designed with a user-friendly format to assist inexperienced users. Key: 59790   XRef: CAS7.6

1.1.2 Searches

1. The system shall provide a proven Soundex-like capability for searching to find exact matches and close matches for name searches. Key: 59834   XRef: CAS8

2. The system shall accommodate searches for hyphenated last names, including possibility of inverted hyphenated names Key: 59836   XRef: CAS9

3. The system shall provide the capability to search for a person by multiple parameters with a minimum of name or partial name, address, ID numbers, Medicare claim, date of birth, social security number and sex. Key: 59832   XRef: CAS10

4. The system shall provide the capability to search by address. Key: 59849   XRef: CAS11

5. The system shall associate current applicants with applicant/recipients at residential address, if applicable. Key: 59838   XRef: CAS12

6. The system shall provide for the capability to search for an Agency worker by multiple parameters. Key: 59844   XRef: CAS13

7. The system shall provide for the capability to search for a provider by multiple parameters. Key: 59846   XRef: CAS14

8. The system shall provide for the capability to search for a collateral contact by multiple parameters. Key: 59842   XRef: CAS15

9. The system shall provide for the capability to search for a household by multiple parameters. Key: 59845   XRef: CAS16

10. The system shall include automatic search of alias names during a search. Key: 59848   XRef: CAS17

11. The system shall display the results of person(s) that meet search criteria displaying exact matches first. Key: 59839   XRef: CAS18

12. The system shall indicate when a search is returned based on an alias match rather than a name match. Key: 59843   XRef: CAS19

13. The system shall allow the worker to view case information such as other case members when verifying a new person. Key: 59837   XRef: CAS20

14. The system shall allow the worker to determine current and past applications from returned search results. Key: 59840   XRef: CAS21

15. The system shall have the ability to stop the processing of a query search at any point in the process. Key: 59841   XRef: CAS22

16. The system shall identify potential matches based on a search criteria and support drilling down to more detailed data. Key: 59835   XRef: CAS23

17. System shall automatically search archived records for initial applications based on modifiable criteria, i.e. date range, eligibility dates, etc. Key: 59833   XRef: CAS23.1

18. System shall allow the worker to optionally search archived records for all other inquiries. Key: 59847   XRef: CAS23.2

1.1.3 Duplicate Entry

1. The system shall be designed to prevent the occurrence of duplicate entries of the same person based on agency criteria. Key: 59852   XRef: CAS24

2. The system shall not require workers to enter redundant data within the system between modules and functions within the life of the case. Key: 59850   XRef: CAS25

3. The system shall store data attached to persons to prevent duplicate entry of information that belongs to an individual versus a case. Key: 59851   XRef: CAS26

1.1.4 Help

1. The system shall have online user, operations and technical user help documentation. Key: 59854   XRef: CAS27

2. The system shall include online documentation such as online program specific policy and procedures manuals. Key: 59853   XRef: CAS28

3. The system shall provide online task-oriented user guides. Key: 59856   XRef: CAS29

4. The system help shall be capable of configuration by the user. Key: 59855   XRef: CAS29.1

5. The system shall provide context sensitive help. Key: 59857   XRef: CAS30

1.1.5 Checklist

1. The system shall provide case-based activity checklists (to-do lists) to assist in prompting the workers in the completion of required case activities according to business rules. Key: 59858   XRef: CAS31

2. The system shall automate the checklist to demonstrate when the worker completes the task listed. Key: 59860   XRef: CAS32

3. The system shall automate the checklist to display the date the worker completed the task listed. Key: 59861   XRef: CAS33

4. The system shall automate the checklist to document the worker name that completed the task listed. Key: 59859   XRef: CAS34

5. The system shall automate the checklist to dynamically fill tasks based on case type, Key: 59862   XRef: CAS35

1.1.6 Checklist Templates

1. The system shall allow the worker to prefill, preview and print the checklist as needed. Key: 59864   XRef: CAS36

2. The system shall allow the worker to print blank checklists or partially completed checklists. Key: 59863   XRef: CAS37

1.1.7 Approvals

1. The system shall identify which work requires approval. Key: 59892   XRef: CAS38

2. The system shall identify approvals required for each piece of work or component authorized. Key: 59888   XRef: CAS39

3. The system shall automatically route any work that require approval under Agency policies to the appropriate workers. Key: 59878   XRef: CAS40

4. The system shall support multiple approval levels for a piece of work depending on the type of work and data entered for the work. Key: 59875   XRef: CAS41

5. The system shall verify the position, classification or role that must approve each piece of work. Key: 59883   XRef: CAS42

6. The system shall identify the time limits required for each approval type based on agency criteria. Key: 59884   XRef: CAS43

7. The system shall escalate system alerts to supervisors when approval on a piece of work is overdue. Key: 59885   XRef: CAS44

8. The system shall find and display the staff person with the authority to authorize each piece of work requiring approval based on assigned roles. Key: 59868   XRef: CAS45

9. The system shall display the role required for the approval with the work to be approved whenever approval is required. Key: 59877   XRef: CAS46

10. The system shall display the list of pending approvals for each person on their desktop. Key: 59889   XRef: CAS47

11. The system shall provide a system alert staff to indicate their approval is due on a piece of work. Key: 59886   XRef: CAS48

12. The system shall allow supervisors the ability to delegate online approval authority to a worker for case management activities to another worker based on agency criteria. Key: 59866   XRef: CAS49

13. The system shall support temporary delegation of approval authority from one authorized worker to another. Key: 59881   XRef: CAS50

14. The system shall treat the delegated staff person the same as the staff with original approval authority when approval has been delegated. Key: 59870   XRef: CAS51

15. The system shall send system alerts to the delegated staff and the staff with original approval authority during the period of delegation. Key: 59871   XRef: CAS52

16. The system shall display a history of approvals with the dates/times and name(s) of the worker or workers who approved the work. Key: 59876   XRef: CAS53

17. The system shall support supervisory and administrative staff overrides to allow exceptions to policy. Key: 59882   XRef: CAS54

18. The system shall allow the supervisor to enter comment notes on approvals but require comments to be entered by the supervisor for all disapprovals. Key: 59867   XRef: CAS55

19. The system shall allow a supervisor to enter in a due date when a piece of work is returned for corrections. Key: 59880   XRef: CAS56

20. The system shall display comment notes with all approval and disapproval records. Key: 59890   XRef: CAS57

21. The system shall send e-mails to the worker who created the work including approval status and comments for the work. Key: 59879   XRef: CAS58

22. The system shall allow authorized workers to reverse an approved piece of work within a configurable time frame to correct worker errors. Key: 59874   XRef: CAS59

23. The system shall provide a full audit trail for all changes to approval, including sources, dates and status changes based on agency criteria. Key: 59869   XRef: CAS60

24. The system shall allow all approval requirements, their effective dates and routing for all works that require approval to be user-maintainable and configurable with tables or rules engines. Key: 59865   XRef: CAS61

25. The system shall record and display all dates and times that approvals were requested, sent back for corrections, reviewed, and completed. Key: 59872   XRef: CAS62

26. The system shall track the history of each action on an approval (e.g. each request, denial, etc). Key: 59887   XRef: CAS63

27. The system shall provide text for the requestor and approver to document descriptions and justifications on the approval action completed. Key: 59873   XRef: CAS64

28. The system shall report all required approvals that are due or past due. Key: 59891   XRef: CAS65

1.1.8 Archive

1. The system shall support archiving including at a minimum records, cases, case files, and any supporting documentation contained in the ECR in accordance with Agency policies. Key: 59895   XRef: CAS66

2. The system shall support archiving including at a minimum records, cases, case files, and any supporting documentation contained in the ECR in accordance with Federal, State, and Agency approved retention schedule. Key: 59894   XRef: CAS67

3. The system shall include a scheduled archiving process in which data that meets established agency criteria will be selected for archiving. Key: 59896   XRef: CAS68

4. The system shall provide modifiable archiving criteria options that can be easily changed by an authorized administrator.   Key: 59898   XRef: CAS69

5. The system shall allow an authorized administrator to restore archived records or partial records, individual documentation. Key: 59897   XRef: CAS70

6. The system shall verify the integrity of the database before and after the archive. Key: 59900   XRef: CAS71

7. The system shall provide the ability to list all records included in an archive. Key: 59901   XRef: CAS72

8. The system shall retain including at a minimum records, cases, case files, and any supporting documentation contained in the ECR needed for auditing purposes in accordance with Federal and State approved retention schedule. Key: 59893   XRef: CAS73

9. The system shall have the ability to associate archiving timeframes with imaged documents. Key: 59899   XRef: CAS74

1.1.9 System Alerts, User Alerts and Notices

1. The system shall provide system alerts based on Agency established policies and practices. Key: 59910   XRef: CAS75

2. The system shall generate system alerts for workers and supervisors when actions are upcoming, due, or overdue. Key: 59907   XRef: CAS76

3. The system alerts shall count down timeframes until the system alert is removed or the piece of work is complete. Key: 59906   XRef: CAS77

4. The system shall have the capability to escalate a system alert to a supervisor or monitor at a defined period of time. Key: 59904   XRef: CAS78

5. The system shall allow authorized staff to delete system alerts. Key: 59918   XRef: CAS79

6. The system shall remove system alerts when the piece of work is completed. Key: 59916   XRef: CAS80

7. The system shall navigate the worker directly from the system alert to the piece of work that is required to remove the system alert. Key: 59903   XRef: CAS81

8. The system shall have worker configurable worker alerts that do not require a developer to add the alert or inactivate an existing the alert. Key: 59902   XRef: CAS82

9. The system shall have worker configurable worker alert messages. Key: 59919   XRef: CAS83

10. The system shall have configurable worker alerts timeframes. Key: 59920   XRef: CAS84

11. The system shall provide the worker the ability to sort all alerts by worker specifications. Key: 59909   XRef: CAS85

12. The system shall provide an option to minimize the display of all alerts. Key: 59917   XRef: CAS86

13. The system shall allow the worker to create and maintain personal worker alerts. Key: 59913   XRef: CAS87

14. The system shall create a history of all notices associated with the applicant/recipient. Key: 59911   XRef: CAS88

15. The system shall have the capability to maintain a history of the notice contents. Key: 59912   XRef: CAS89

16. The system shall have the capability to track the date the notice was sent. Key: 59914   XRef: CAS90

17. The system shall create a summary view of completed alerts. Key: 59921   XRef: CAS91

18. The system shall have the capability to generate email alerts and notifications based on Agency Policy. Key: 59908   XRef: CAS92

19. The system shall maintain a history of all email alerts and notifications. Key: 59915   XRef: CAS93

20. The system shall have the capability for an authorized worker to turn alerts on or off without the use of a developer. Key: 59905   XRef: CAS94

21. The system shall allow the worker to print alerts. Key: 59922   XRef: CAS95

1.1.10 Corrections

1. The system shall provide authorized workers the ability to make corrections when errors are made to completed work. Key: 59800   XRef: CAS96

2. The system shall allow authorized workers the ability to delete records entered in error within the agency specified time frame. Key: 59796   XRef: CAS96.1

3. The system shall provide a complete audit trail of any changes made to correct errors on completed work. Key: 59802   XRef: CAS97

4. The system shall display an indication online that a change was made to correct an error on completed work. Key: 59801   XRef: CAS98

5. The system shall provide a narrative to explain why an authorized worker made the correction to a completed piece of work. Key: 59797   XRef: CAS99

6. The system shall allow the worker to generate a report of all corrections made by worker by piece of work and timeframe. Key: 59798   XRef: CAS100

7. The system shall allow the worker to generate a report of all deletions made by worker by piece of work and timeframe. Key: 59799   XRef: CAS100.1

1.1.11 Forms and Reports

1. The system shall maintain a complete inventory of all Agency forms and store them centrally. Key: 59817   XRef: CAS101

2. The system shall make Agency forms available within the system workflow as defined by Agency. Key: 59816   XRef: CAS102

3. The system shall generate each form in formats and languages approved by Agency. Key: 59825   XRef: CAS103

4. The system shall provide the capability for a primary language indicator for a beneficiary. Key: 59819   XRef: CAS104

5. The system shall produce beneficiary correspondence, forms, and templates in the language identified by the primary language indicator. Key: 59810   XRef: CAS105

6. The system shall allow authorized workers to create templates for system-wide use. Key: 59823   XRef: CAS105.1

7. The system shall prefill available system data in created templates. Key: 59831   XRef: CAS105.2

8. The system shall support workers ability to prefill data on templates. Key: 59829   XRef: CAS106

9. The system shall maintain a history of all reports, forms and templates. Key: 59828   XRef: CAS107

10. The system shall maintain and provide access to a history of all templates created and saved to allow workers to view the exact image of what was entered on these templates by applicant/recipient or case. Key: 59803   XRef: CAS108

11. The system shall be able to display and print stored or imaged forms. Key: 59830   XRef: CAS109

12. The system shall allow the worker to search for forms using Agency defined criteria. Key: 59821   XRef: CAS110

13. The system shall generate all reports with consistent report header and footer formatting. Key: 59818   XRef: CAS111

14. The system shall identify on all reports the date and time it was generated and allow the worker to save the report. Key: 59812   XRef: CAS112

15. The system shall provide versioning and authorization management for standard forms. Key: 59822   XRef: CAS113

16. The system shall produce reports with labels that uniquely identify each report. Key: 59826   XRef: CAS114

17. The system shall provide the ability to print dynamic Agency letterhead, logo, and form name, and number when forms and reports are printed. Key: 59809   XRef: CAS115

18. The system shall calculate and print sequential page numbers for all reports. Key: 59827   XRef: CAS116

19. The system shall allow authorized workers to access, generate, and print reports. Key: 59824   XRef: CAS117

20. The system shall provide integrated support for online reports and forms generation which shall include local and central print capabilities. Key: 59808   XRef: CAS118

21. The system shall include a forms tool that allows an authorized worker to define forms and link existing database fields to fields on the forms. Key: 59807   XRef: CAS119

22. The system shall provide a comprehensive reporting solution that will generate standard operating, pre-defined or operational reports without an adverse effect on system performance or response time. Key: 59804   XRef: CAS120

23. The system shall allow the capability to apply "DRAFT" or other water marks to printed forms, template and reports Key: 59813   XRef: CAS121

24. The system shall be able to save reports or raw data in multiple outputs formats (e.g. CSV, tab delimited, text, HTML, XML) in conformance to security standards. Key: 59805   XRef: CAS122

25. The system shall include drill down and sort capabilities to view components of online summary reports. Key: 59815   XRef: CAS123

26. The system shall provide a mechanism to distribute selected reports electronically to appropriate workers. Key: 59814   XRef: CAS124

27. The system shall provide a worker interface for configuring automatic report distribution. Key: 59820   XRef: CAS125

28. The system shall ensure all documents and forms are generated within the system and pre-fill all documents and forms with case/person specific information. Key: 59806   XRef: CAS126

29. The system shall provide the capability for a worker to make corrections in templates and have this information update the database. Key: 59811   XRef: CAS127

31. The system shall include the ability to run Ad Hoc reports from all environments such as Production, Development, Model Office, and Test environments. Key: 61186   XRef: CAS128

32. The system shall include the ability to run Ad Hoc reports from all environments such as Production Development, Model Office, Staging and Test environments. Key: 61197   XRef: CAS128

1.2 Organizational Management

1.2.1 Maintain Organization Structure

1. The system shall identify the type of organizational structure for each group. Key: 59928   XRef: CAO1

2. The system shall record data on organizational structures and reporting relationships in the Agency and other pertinent external organizations. Key: 59923   XRef: CAO2

3. The system shall utilize organizational structure to automatically route work per Agency specifications. Key: 59925   XRef: CAO3

4. The system shall allow assignment of organization roles to staff. Key: 59931   XRef: CAO4

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5. The system shall allow staff to be assigned one or more roles within an organizational unit. Key: 59926   XRef: CAO5

6. The system shall have the capability to assign staff to backup roles. Key: 59929   XRef: CAO6

7. The system shall support the organizational structure by allowing 'teams' or 'units' of workers to be created with a designated role. Key: 59924   XRef: CAO7

8. The system shall support and maintain assignment of staff to an organizational unit. Key: 59927   XRef: CAO8

9. The system shall maintain a full history of temporary delegations. Key: 59930   XRef: CAO9

1.2.2 Staff Management

1. The system shall maintain unique staff identifier. Key: 59945   XRef: CAO10

2. The system shall support the creation of a staff profile. Key: 59944   XRef: CAO11

3. The system shall track staff records for all agency staff. Key: 59943   XRef: CAO12

4. The system shall include job related demographics in the staff profile (e.g. skills, job title, phone number, etc). Key: 59934   XRef: CAO13

5. The system shall include organization information in the staff profile. Key: 59941   XRef: CAO14

6. The system shall maintain a history of organization assignment and pertinent demographics. Key: 59939   XRef: CAO15

7. The system shall include education, training and skills possessed by the staff in their profile. Key: 59937   XRef: CAO16

8. The system shall provide the capability to update a staff profile in the system on-line. Key: 59940   XRef: CAO17

9. The system shall maintain a history of all future, current and past begin and end dates for staff (e.g. dates of employment, user roles, unit assignments, locations, address, etc.) Key: 59933   XRef: CAO18

10. The system shall allow assignment of staff to multiple units based on work to be performed. Key: 59938   XRef: CAO19

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11. The system shall support all necessary levels and classes of security to protect staff information. Key: 59936   XRef: CAO20

12. The system shall allow supervisors, administrator and authorized workers to edit and update staff records for the staff within their reporting units. Key: 59932   XRef: CAO21

13. The system shall provide the capability to inactivate or temporarily suspend a staff person's status. Key: 59935   XRef: CAO22

14. The system shall record and display staff termination dates. Key: 59942   XRef: CAO23

1.3 Person Mgt-General

1.3.1 General

1. The system shall assign a unique identifier for each person entered. Key: 59951   XRef: CAP1

2. The system shall always associate the same unique identifier with each person as they exit and enter the system. Key: 59948   XRef: CAP1.1

3. The system shall allow a person to be assigned one or more roles (e.g., sponsor, spouse, payee, etc). Key: 59949   XRef: CAP2

4. The system shall maintain data that is specific to an individual and shall not require re-entry when cases or roles change. Key: 59947   XRef: CAP3

5. The system shall support a person summary view that provides a thumbnail of critical person data. Key: 59950   XRef: CAP4

6. The system shall allow the worker to document discussions with an applicant to reflect any provision of agency required information such as freedom of choice, etc. so they can be electronically retrieved for statistical and/or reporting purposes. Key: 59946   XRef: CAP4.1

1.3.2 Person Demographics

1. The system shall allow workers to record the name and aliases of any person entered into the system to include first, middle, last and maiden names. Key: 59981   XRef: CAP5

2. The system shall allow the worker to enter in multiple races up to five (5) races per person. Key: 59985   XRef: CAP6

3. The system shall allow the worker to select the ethnicity for each person. Key: 59987   XRef: CAP7

4. The system shall allow the worker to select if the person's ethnicity is Hispanic/Latino using Yes and No identifiers. Key: 59982   XRef: CAP8

5. The system shall record if the person is "Native American or Alaskan Native". Key: 59986   XRef: CAP9

6. The system shall allow the worker to record the gender/sex of each person. Key: 59988   XRef: CAP10

7. The system shall allow worker to record recipient's tribal designation. Key: 59989   XRef: CAP11

8. The system shall allow the worker to document if an individual is a veteran or a dependent of a veteran. Key: 59983   XRef: CAP11.1

9. The system shall track information related to the veteran if they are not a member of the household. Key: 59984   XRef: CAP11.2

1.3.3 Birth Information

1. The system shall track each person's birth information which includes country, state, county and city. Key: 59991   XRef: CAP12

2. The system shall allow the worker to record a person's date of birth. Key: 59993   XRef: CAP13

3. The system shall allow the worker to indicate if the person's date of birth is an estimate. Key: 59992   XRef: CAP14

4. The system shall calculate and display the person's age. Key: 59994   XRef: CAP15

5. The system shall allow the worker to record if the date of birth was verified and the source of verification. Key: 59990   XRef: CAP16

1.3.4 SSN Information

1. The system shall allow the worker to record the person's Social Security Number. Key: 59998   XRef: CAP18

2. The system shall indicate the source of the Social Security Number verification. Key: 59999   XRef: CAP19

3. The system shall record the date the Social Security Number verification was complete. Key: 59997   XRef: CAP20

4. The system shall record if an application for a Social Security Number was completed and the date it was completed. Key: 59996   XRef: CAP21

5. The system shall allow a pseudo number to be assigned to an individual who does not have an assigned social security number. Key: 59995   XRef: CAP21.1

6. The system shall not allow duplicate social security numbers. Key: 60001   XRef: CAP21.2

7. The system shall maintain a history of all social security numbers. Key: 60000   XRef: CAP21.3

1.3.5 Language

1. The system shall allow a worker to record if the person requires an interpreter. Key: 60003   XRef: CAP22

2. The system shall allow the worker to record the person's primary language. Key: 60004   XRef: CAP23

3. The system shall allow worker to record a person's primary language for correspondence. Key: 60002   XRef: CAP24

1.3.6 Address and Phone

1. The system shall support United States addresses (domestic) as well as foreign addresses. Key: 60013   XRef: CAP25

2. The system shall allow for only one primary address per person for benefit related correspondence. Key: 60011   XRef: CAP27

3. The system shall allow for one privacy address per person according to HIPAA regulations. Key: 60014   XRef: CAP27.1

4. The system shall allow for only one address per household for benefit related correspondence in the event there is more than one person in the household. Key: 60005   XRef: CAP28

5. The system shall allow the worker to enter in effective dates for each address entered. Key: 60015   XRef: CAP30

6. The system shall be able to calculate and display the length of time an individual has resided in Alabama from the effective dates entered. Key: 60007   XRef: CAP30.1

7. The system shall allow the worker to enter in email addresses for any person entered into the system. Key: 60010   XRef: CAP31

8. The system shall allow the worker to enter in fax numbers for any persons. Key: 60016   XRef: CAP32

9. The system shall provide the worker a mechanism to enter in one address for a family and associate it to each person. Key: 60009   XRef: CAP33

10. The system shall provide the capability to verify beneficiary addresses with the US Postal Service (USPS) and National change of Address (NCOA) file. Key: 60006   XRef: CAP34

11. The system shall provide the capability to utilize the USPS and NCOA file to conduct address change verification as required. Key: 60008   XRef: CAP35

12. The system shall accept updates from the USPS and NCOA interface and update records accordingly. Key: 60012   XRef: CAP35.1

13. The system shall allow override of postal verification in cases where actual address does not agree with postal verification or cannot be readily verified (i.e. prior to latest update of postal software, for homeless shelters, for migrant camps, etc.) Key: 60017   XRef: CAP36

1.3.7 Citizenship

1. The system shall record a person's citizenship data. Key: 60022   XRef: CAP38

2. The system shall record if the person's citizenship data has been verified. Key: 60020   XRef: CAP39

3. The system shall track the citizenships source of verification and date of verification. Key: 60018   XRef: CAP40

4. The system shall record a person's alien status. Key: 60023   XRef: CAP40.1

5. The system shall record if the person's alien status has been verified. Key: 60021   XRef: CAP40.2

6. They system shall record the alien verification source and date of verification. Key: 60019   XRef: CAP40.3

1.3.8 Migrant-Refugee

1. The system shall allow recording a person's refugee status. Key: 60027   XRef: CAP41

2. The system shall allow recording of the person's Country of Origin. Key: 60026   XRef: CAP42

3. The system shall allow recording of the Date the person entered the USA. Key: 60025   XRef: CAP43

4. The system shall provide the reason for coming to USA. Key: 60029   XRef: CAP45

5. The system shall allow recording a person's migrant status. Key: 60028   XRef: CAP46

6. The system shall capture the dates of an individual's refugee assistance. Key: 60024   XRef: CAP46.1

1.3.9 Relationships

1. The system shall allow worker to set, maintain and associate relationships to each person which allows for tracking across multiple generations and multiple cases. Key: 60031   XRef: CAP47

2. The system shall automatically determine reciprocal relationships (e.g. father - son identified by worker, son - father determined by system). Key: 60032   XRef: CAP48

3. The system shall allow family relationship values to be configurable. Key: 60037   XRef: CAP49

4. The system shall allow the worker to record the relationship between the child and the caretaker (e.g. parent, relative, guardian, potential adoptive parent, aunt, uncle, grandmother, etc). Key: 60030   XRef: CAP50

5. The system shall maintain and display a history of all relationships entered. Key: 60036   XRef: CAP51

6. The system shall allow the worker to capture the current marital status of each person. Key: 60034   XRef: CAP53

7. The system shall allow workers to record the collateral relationship to the person. Key: 60035   XRef: CAP54

8. The system shall allow the workers to record information related to a sponsor, spouse and authorized representative of an applicant. Key: 60033   XRef: CAP54.1

1.3.10 Person Merge/Unmerge

1. The system shall allow merging of a duplicate person's data into a single active person's data. Key: 59953   XRef: CAP55

2. The system shall allow the worker to select which data should be retained on the active person. Key: 59954   XRef: CAP56

3. The system shall allow reversing the merged person's record. Key: 59956   XRef: CAP57

4. The system shall be able to split a person record to create two active persons. Key: 59955   XRef: CAP58

5. The system shall allow the worker to select which data to associate to the two active persons when performing a person split. Key: 59952   XRef: CAP59

1.3.11 Household Merge/Unmerge

1. The system shall allow merging of a duplicate household's data into a single active household's data. Key: 59958   XRef: CAP60

2. The system shall allow the worker to select which data should be retained on the active household. Key: 59959   XRef: CAP61

3. The system shall allow reversing the merged household's record. Key: 59961   XRef: CAP62

4. The system shall be able to split a household record to create two active households. Key: 59960   XRef: CAP63

5. The system shall allow the worker to select which data to associate to the two active households when performing a household split. Key: 59957   XRef: CAP64

1.3.12 Health Insurance Information

1. The system shall provide a mechanism to track all health insurance information including but not limited to both primary and secondary coverage. Key: 59963   XRef: CAP65

2. The system shall require the worker to document whether or not the applicant discloses health insurance. Key: 59967   XRef: CAP66

3. The system shall require the worker to document whether or not the person is covered by health insurance by someone else. Key: 59964   XRef: CAP67

4. The system shall require the worker to document whether or not health insurance is available but not being used. Key: 59966   XRef: CAP68

5. The system shall require the worker to document the reasons why insurance is not being used. Key: 59968   XRef: CAP69

6. The system shall send a system alert to the authorized worker when insurance is available but not purchased or is dropped for purposes of HIPP or premium payment. Key: 59962   XRef: CAP70

7. The system shall allow a worker to record the primary holder's name. Key: 59976   XRef: CAP71

8. The system shall allow a worker to record the employers name, phone, and address that is providing the health coverage. Key: 59965   XRef: CAP72

9. The system shall allow a worker to record the insurance company's name, address, and phone. Key: 59969   XRef: CAP73

10. The system shall allow a worker to record the group/policy number. Key: 59977   XRef: CAP74

11. The system shall allow a worker to record the coverage code and contract number Key: 59972   XRef: CAP75

12. The system shall allow a worker to enter the reason for any change in coverage. Key: 59973   XRef: CAP76

13. The system shall record start and end dates for insurance coverage. Key: 59978   XRef: CAP77

14. The system shall be able to translate codes for insurance providers into "plain English" Key: 59971   XRef: CAP79

15. The system shall track any and all Medicaid and Medicare numbers. Key: 59979   XRef: CAP80

16. The system shall track begin and end dates associated with Medicaid and Medicare numbers. Key: 59970   XRef: CAP81

17. The system shall record the frequency of the health insurance payment. Key: 59975   XRef: CAP81.1

18. The system shall record multiple health insurance policies. Key: 59980   XRef: CAP81.2

19. The system shall record type of insurance policy (burial, dental, life, etc.) Key: 59974   XRef: CAP81.3

2.0 Intake

2.1 Screening

2.1.1 Potential Eligibility

1. The system shall provide the capability to electronically identify the Medicaid programs that an individual or family may qualify for based on a limited set of key identifying questions Key: 60039   XRef: ISC1

2. The system shall provide the capability to link with screening systems that may be under development for other programs such as the Temporary Assistance for Needy Families (TANF) program, Child Health Insurance Program (CHIP), Supplemental Nutritional Assistance Program (SNAP), and child care to help applicant/eligibles identify the full scope of services for which they are eligible Key: 60045   XRef: ISC2

3. The system shall provide the web based functionality to allow applicants/eligibles to complete screening for potential Medicaid and CHIP eligibility. Key: 60040   XRef: ISC3

4. The online application shall include an interactive preliminary assessment screening tool to reduce the number of nonqualified applicants that submit unnecessarily. Key: 60063   XRef: IOL2

5. The Medicaid pre-assessment screening tool shall allow an individual to answer an initial basic set of questions to quickly and anonymously identify potential eligibility based on the user's responses. Key: 60038   XRef: ISC3.1

6. The system screening tool shall have required edit fields to be completed before providing potential eligibility results. Key: 60041   XRef: ISC5

7. The system screening tool shall allow the applicant/eligible to print the screening results from their location. Key: 60042   XRef: ISC6

8. The system shall monitor the number of screenings completed. Key: 60044   XRef: ISC10

9. The pre-assessment screening tool shall be available in English and Spanish at a fourth grade reading level. Key: 60043   XRef: ISC10.1

2.1.2 Outreach

1. The system shall provide, through the screening tool, information to individuals about local offices or other organizations offering assistance and/or services (e.g. CHIP, Child Support, TANF, Child Care, employment services, etc. Key: 60047   XRef: ISC11

2. The system shall provide, through the on line application, information to individuals about local offices or other organizations offering assistance and/or services (e.g. CHIP, Child Support, TANF, Child Care, employment services, etc. Key: 60046   XRef: ISC12

3. The system shall provide the capability to create and maintain waiting lists for individuals who request program benefits, but the program is currently closed to new applications. Key: 60048   XRef: ISC13

2.1.3 Referral

1. The system shall support automatic referrals to, but not limited to, HIPP, LTC, Program Integrity, NET, Home and Community Based Waivers, TPL, CHIP, DHR, WIC, DMV, etc. based on a applicant's responses submitted via the online application. Key: 60049   XRef: ISC14

2. The system shall support referrals to, but not limited to, HIPP, LTC, Program Integrity, NET, Home and Community Based Waivers, TPL, CHIP, etc. upon action initiated by the worker. Key: 60050   XRef: ISC15

2.2 On-line Application

2.2.1 General

1. The online application shall be featured as a part of a self-service portal that allows customers to screen and apply for benefits, report changes and renew benefits. Key: 60055   XRef: IOL1

2. The system shall provide a web based functionality to allow applicants/eligibles to make an application online. Key: 60088   XRef: IOL4

3. The web portal shall provide access to allow the applicant/recipient to add or delete a member, view their eligibility status, eligibility benefits, report changes, change primary health provider, lookup Q&As, request replacement Medicaid card, to apply and complete a renewal, and complete requisite forms, and NET request. Key: 60051   XRef: IOL23

4. The online application shall allow applicants to either fill out the form for electronic submission or print a copy for their records. Key: 60076   XRef: IOL26

5. The system shall provide a web based functionality to allow the applicant/recipient to renew eligibility online. Key: 60087   XRef: IOL28

6. The system shall allow the worker to upload source documents to support eligibility determination. Key: 60092   XRef: IOL30

7. The online application shall allow the applicant/recipient, authorized representative and an application assister to electronically sign and submit their application or renewal or changes in real-time. Key: 60054   XRef: IOL6

8. The online application shall require that an authorized representative or application assister to identify their relationship as a condition for acceptance of the electronic signature. Key: 60059   XRef: IOL6.1

9. The online application shall be available in English and Spanish at a fourth grade reading level. Key: 60093   XRef: IOL9

10. The online application shall allow for postal address verification that conforms to the USPS standards. Key: 60091   XRef: IOL36

11. The online application shall be located with ease through various online search engines. Key: 60095   XRef: IOL10

2.2.2 Security

1. The online application shall feature a user identification/password to ensure confidentiality once the application or renewal is received. Key: 60072   XRef: IOL7

2. The online application shall use advanced encryption technology to protect person information and comply with HIPAA privacy requirements. Key: 60073   XRef: IOL8

3. The online application shall allow the applicant/recipient to use their unique user identification/password to check on the status of the application after it is submitted. Key: 60061   XRef: IOL19

4. The system shall display confidentiality statements and privacy protections wherever appropriate. Key: 60094   XRef: IOL24

5. The system shall assign a unique identifier to each electronic application received. Key: 60097   XRef: IOL27

6. The system shall allow an applicant to review the current application after formal submission with the appropriate safeguards and security measures. Key: 60071   XRef: IOL20

7. The system shall allow an applicant to update certain information from the most recent application at reapplication with the appropriate safeguards and security measures. Key: 60062   XRef: IOL21

2.2.3 User Interface

1. The online application shall include "skip patterns" designed to only elicit information needed to evaluate the applicant/recipients' individual circumstances. Key: 60067   XRef: IOL11

2. The online application shall be designed to only ask those questions required for which they are applying based on broad program groups (e.g. Family Certification, Elderly & Disabled, etc) Key: 60057   XRef: IOL13

3. The system shall allow personalized questions by applicant name. Key: 60098   XRef: IOL13.1

4. The system shall display reminders about required fields such as signature and wages or resources even if the answer is zero or none Key: 60078   XRef: IOL13.2

5. The online application shall point out missing data, errors and inconsistencies as they progress through the application. Key: 60083   XRef: IOL16.2

6. The online application shall prompt the applicant/recipient to enter an email address. Key: 60096   XRef: IOL41

7. The online application shall ask the applicant/recipient if they would like to receive information via email. Key: 60090   XRef: IOL42

8. The online application shall have functionality that allows multiple records (i.e. family members) to be quickly added on the same page. Key: 60075   XRef: IOL14

9. The online application shall notify the applicant/recipient which additional source documents will be necessary to complete the eligibility determination process. Key: 60065   XRef: IOL16

10. The online application shall feature a progress bar and left navigation menu to highlight applicant/recipient's progress. Key: 60084   XRef: IOL31

11. The online application shall allow the applicant/recipient to jump back to sections previously completed without losing data entered. Key: 60077   XRef: IOL31.1

12. The online application shall feature calculation tools to display computations of wages and income, resources, deductions and family size for each program. Key: 60069   XRef: IOL32

2.2.4 Submission of Application

1. The online application shall prevent the applicant/recipient from submitting an online application with missing data, errors and inconsistencies in information. Key: 60066   XRef: IOL16.1

2. The system shall allow a prospective applicant/recipient to suspend the application process and return to it at a later time with appropriate security to access the suspended application. Key: 60058   XRef: IOL17

3. The online application shall allow the applicant/recipient to suspend the application or renewal for up to 30 days in order to gather additional information. Key: 60068   XRef: IOL18

4. The system shall purge information that is contained in an online application if it is not submitted after 30 days. Key: 60086   XRef: IOL18.1

5. The system will not allow an applicant/recipient to submit an application if there is an online application in pending status. Key: 60082   XRef: IOL18.2

6. The system shall not allow an applicant/recipient to submit more than one application within 30 days from the initial submission. Key: 60079   XRef: IOL18.3

7. The system shall maintain a history of all changes and updates to applications that is easily viewable by the agency worker in the electronic case file. Key: 60070   XRef: IOL22

8. The system shall display to the worker upon receipt of the online application discrepant information between the new application and information stored in the existing case. Key: 60060   XRef: IOL22.1

9. The online application shall allow the applicant/recipient to report changes and offer eligibility information retrieval functionality. Key: 60074   XRef: IOL2.1

10. The online application shall have the ability to pre-populate recertification application with applicant/recipient information that is currently on file and allow the applicant/recipient to change or add information. Key: 60053   XRef: IOL3

11. The data entered into the online application shall be submitted via secure transmission protocol and automatically populated in the system's data fields and appropriate interfaces to eliminate need for worker to manually key data. Key: 60052   XRef: IOL33

12. The online application shall provide customized local agency information (i.e. physical office location of nearest District Office and name, email and phone) about how to get in touch with a worker. Key: 60056   XRef: IOL34

13. The online application shall produce customized listing of source documentation required to complete eligibility determination. Key: 60081   XRef: IOL35

14. The online application shall present the applicant/recipient with a summary view of the information entered prior to submission. Key: 60080   XRef: IOL37

15. The online application shall require the applicant/recipient to agree to all required affirmations and agreements as a condition for acceptance of the application. Key: 60064   XRef: IOL38

16. The online application shall provide the ability to change the primary applicant on the application prior to submission. Key: 60085   XRef: IOL39

17. The online application shall provide a preliminary eligibility determination upon submission of an application. Key: 60089   XRef: IOL40

2.3 Record Intake

2.3.1 General Workflow

1. The system shall provide an automated or guided application process to enable the worker to easily enter required information. Key: 60107   XRef: IRI1

2. The system shall allow the worker to exit the workflow when desired in order to move directly to a screen of choice. Key: 60113   XRef: IRI2

3. The system shall allow the worker to record all applicant/recipient inquires/complaints in an automated fashion. Key: 60115   XRef: IRI3

4. The system shall provide system-generated date and time stamp for receipt of applications to be used in monitoring standards of promptness by program. Key: 60102   XRef: IRI4

5. The system shall assign an internal unique identifier to each intake. Key: 60123   XRef: IRI5

6. The system shall have the capability to allow the worker to record multiple types of intakes (e.g. complaints, information only, messages, referrals, requests for transportation services, etc). Key: 60100   XRef: IRI6

7. The system shall support modifying and reclassifying an incorrectly identified intake (e.g. request for transportation, informational only) without creating a new internal unique identifier or re-entering data into the system. Key: 60099   XRef: IRI7

8. The system shall allow the worker to record at any time during the intake process, the type of intake being received. Key: 60112   XRef: IRI8

9. The system shall track the method the intake information was received (e.g. call, mail, etc). Key: 60118   XRef: IRI9

10. The system shall display the dates and times when intake information is entered into the system. Key: 60117   XRef: IRI10

11. The system shall support capturing a narrative of the intake. Key: 60124   XRef: IRI11

12. The system shall provide a means for the worker to record a message to another individual, link the message to the case and send it to the worker. Key: 60103   XRef: IRI12

13. The system shall provide edit checks that are limited to essential information and do not impede collection of the intake. Key: 60109   XRef: IRI13

14. The system shall allow the authorized worker to override the system-generated date with a date in the past if date of application is different from current date (no future dated applications) Key: 60101   XRef: IRI14

15. The system shall automatically identify those applicants that are potentially eligible for express lane eligibility. Key: 60114   XRef: IRI15

16. The system shall only collect applicant/case information once and share across all programs. Key: 60119   XRef: IRI16

17. The system shall provide interactive questions that can lead to appropriate next questions based on responses and other existing data. Key: 60104   XRef: IRI17

18. The system shall be flexible to allow the worker to conduct interactive interview with the applicant/recipient present. Key: 60111   XRef: IRI18

19. The system shall edit all input information and allow for its correction by the worker before acceptance for further processing. Key: 60106   XRef: IRI19

20. The system shall require the worker to document the case action type. M-1 TYPES Key: 60121   XRef: IRI20

21. The system shall prompt questions for the worker to answer based on the type of action documented. Key: 60116   XRef: IRI21

22. The system shall prompt questions for the worker to answer based on the type of program for which the individual is eligible. Key: 60108   XRef: IRI22

23. The system shall require the worker to identify whether or not the applicant is applying for self or as a representative. Key: 60110   XRef: IRI23

24. The system shall allow and record an applicant's request to withdraw an application. Key: 60120   XRef: IRI25

25. The system shall provide a set of questions that shall guide the applicant/eligible or worker through the NET payment request process. Key: 60105   XRef: IRI31

26. The system shall track the processing of the release of HIPAA information. Key: 60122   XRef: IRI31.1

2.3.2 Person Management

1. The system shall allow the worker to record applicant/eligible's address. Key: 60246   XRef: IRI32

2. The system shall allow the worker to record applicant/eligible's address type. Key: 60244   XRef: IRI33

3. The system shall allow the worker to record and associate applicant/eligible's code assignment(s) (e.g. county, district and region, other). Key: 60238   XRef: IRI34

4. The system shall allow the worker to record the living arrangement of the applicant/eligible. Key: 60242   XRef: IRI35

5. The system shall allow the worker to collect information on individuals associated with the applicant/eligible's guardian, custodian, sponsor, spouse and/or the representative payee such as name, address and address type. Key: 60237   XRef: IRI36

6. The system shall collect information related to homelessness. Key: 60247   XRef: IRI37

7. The system shall allow the worker or another system to report applicant/eligible's date of death. Key: 60241   XRef: IRI38

8. The system shall allow a verified death to be recorded. Key: 60248   XRef: IRI39

9. The system shall allow the worker to record the verification source of the death and the date of verification. Key: 60240   XRef: IRI41

10. The system shall allow worker to record applicant/eligible's emancipated youth indicator. Key: 60243   XRef: IRI42

11. The system shall allow worker to record applicant/eligible's custody status. Key: 60245   XRef: IRI43

12. The system shall allow worker to record other applicant/eligible demographic information as designated by the State. Key: 60239   XRef: IRI44

2.3.3 Medical Information

1. The system shall allow the worker to collect medical criteria (i.e. substance abuse, mental health, etc) for applicant/recipients as needed for eligibility determination. Key: 60249   XRef: IRI45

2.3.4 Pregnancy Information

1. The system shall allow worker to collect information about pregnancy. Key: 60255   XRef: IRI46

2. The system shall allow worker to record applicant/eligible's pregnancy date of delivery. Key: 60253   XRef: IRI47

3. The system shall allow the worker to record the applicant/eligible's date of confinement. Key: 60252   XRef: IRI48

4. The system shall alert the worker when no birth has been recorded and it is two months past the date of confinement. Key: 60250   XRef: IRI49

5. The system shall allow the worker to record the number of unborns for the current pregnancy. Key: 60251   XRef: IRI49.1

6. The system shall allow the worker to assign a name for each unborn child. Key: 60254   XRef: IRI49.2

7. The system shall assign a unique identifier for each unborn child. Key: 60256   XRef: IRI49.3

8. The system shall assign a Medicaid number for each unborn child. Key: 60257   XRef: IRI49.4

2.3.5 Mental Health Information

1. The system shall allow the worker to record screening types associated with Substance or Alcohol Abuse. Key: 60258   XRef: IRI50

2.3.6 Education Information

1. The system shall provide the capability to track school attendance of any individual that is of school age per Agency policy. Key: 60259   XRef: IRI53

2.3.7 Special Needs of Individual

1. The system shall allow the worker to document whether the applicant needs assistance due to special needs (i.e. blind) Key: 60260   XRef: IRI56

2. The system shall have the capability to track applicant/recipients who are affected by a natural disaster. Key: 60261   XRef: IRI57

2.4 Intake Workflow

2.4.1 Nonfinancial Data Management

1. The system shall not require the worker to collect person level nonrequired nonfinancial eligibility data if determination of eligibility can be made from supporting data based on Agency requirements. Key: 60262   XRef: IWF1

2. The system shall establish applicant/recipient grouping automatically (e.g. families, households, income groupings, etc.) based on program requirements. (make sure to cross reference cases) Key: 60263   XRef: IWF2

3. The system shall capture all nonfinancial data required by agency policy. Key: 60277   XRef: IWF3

4. The system shall verify if the applicant meets relationship eligibility factors. Key: 60275   XRef: IWF4

5. The system shall track cooperation/non-cooperation for medical support Key: 60279   XRef: IWF5

6. The system shall allow the worker to document good cause for non-cooperation with medical support. Key: 60271   XRef: IWF6

7. The system shall verify if the applicant meets cooperation factors for medical support. Key: 60272   XRef: IWF7

8. The system shall verify if the applicant meets residency requirements. Key: 60280   XRef: IWF9

9. The system shall verify if the applicant meets citizenship or immigrant requirements. Key: 60273   XRef: IWF10

10. The system shall capture the alien status, country of origin, alien registration number, date of entry, alien verification documents and all other information regarding aliens. Key: 60264   XRef: IWF10.1

11. The system shall determine the five year ban period for aliens or eligibility periods for certain aliens depending on their eligibility type Key: 60266   XRef: IWF10.3

12. The system shall capture citizenship and identification verification codes Key: 60276   XRef: IWF10.2

13. The system shall verify if medical insurance (such as cancer policies and/or indemnity) or medical support benefits has been signed over to the state. Key: 60265   XRef: IWF11

14. The system shall determine if the applicant meets age requirements. Key: 60281   XRef: IWF12

15. The system shall verify if the applicant meets medical requirements for the health care coverage program being considered. Key: 60268   XRef: IWF13

16. The system shall verify if the applicant meets living arrangements required for the health care coverage program being considered. Key: 60267   XRef: IWF14

17. The system shall verify if the applicant has health care coverage from other sources. Key: 60274   XRef: IWF15

18. The system shall capture and track sanctions, disqualifications and suspensions (e.g. transfer of assets, fraud, etc) Key: 60269   XRef: IWF16

19. The system shall capture and track eligibility for partial services Key: 60282   XRef: IWF16.1

20. The system shall capture information regarding a disaster circumstances Key: 60278   XRef: IWF16.2

21. The system shall capture medical information including but not limited to sterilization, pregnancy, disability, etc. Key: 60270   XRef: IWF16.3

2.4.2 Financial Data Management

1. The system shall provide the capability to collect earned income at the person level. Key: 60293   XRef: IWF17

2. The system shall allow the worker to collect and record employment types such as gross wages, tips, rental income, and room and board. Key: 60286   XRef: IWF18

3. The system shall provide the capability to collect unearned income at the person level. Key: 60292   XRef: IWF19

4. The system shall allow the worker to collect unearned income types such as lump sum settlements, child support, Social Security, social security disability, SSI, trust funds, educational stipends, Black Lung benefits, annuities, and retirement funds. Key: 60283   XRef: IWF20

5. The system shall capture the amount of income going into a qualified income trust (QIT). Key: 60291   XRef: IWF20.1

6. The system shall capture subtypes of types of income (e.g. VA aide and attendance, CME and UME). Key: 60290   XRef: IWF 20.2

7. The system shall allow the association of multiple income types (earned and unearned) to an individual. Key: 60287   XRef: IWF21

8. The system shall allow the start and end dates of all income types. Key: 60296   XRef: IWF22

9. The system shall capture whether or not the individual is self-employed. Key: 60295   XRef: IWF23

10. The system shall allow the worker to collect financial data using effective dates for application by the eligibility rules to the correct budget months. Key: 60285   XRef: IWF24

11. The system shall calculate applicant/recipient's total income according to individual program rules and apply income eligibility according to program rules. Key: 60284   XRef: IWF25

12. The system shall maintain table driven income and asset minimum and maximum levels by family size. Key: 60289   XRef: IWF26

13. The system shall have the functionality to convert income amounts to monthly amounts. Key: 60294   XRef: IWF27

14. The system shall capture and calculate disregards, deductions and exclusions based on the program. Key: 60288   XRef: IWF27.1

2.4.3 Expense Data Management

1. The system shall collect expenditure amounts and types such as educational expenses, medical, Medicare premiums, health insurance premiums, child care, child support, alimony, etc. Key: 60297   XRef: IWF28

2. The system shall collect for whom these expenses are paid. Key: 60301   XRef: IWF29

3. The system shall collect non-covered medical expenditures. Key: 60302   XRef: IWF30

4. The system shall associate dates regarding when expenses were incurred. Key: 60299   XRef: IWF31

5. The system shall calculate deductibles according to program rules. Key: 60300   XRef: IWF32

6. The system shall capture and calculate copayment information regarding prescription plans other than PartD. Key: 60298   XRef: IWF32.1

2.4.4 Resource Data Management

1. The system shall allow the worker to collect resource values on the applicant's savings, assets, and property. Key: 60312   XRef: IWF33

2. The system shall allow the worker to collect resource data using effective dates for application by the eligibility rules to the correct budget months. Key: 60305   XRef: IWF34

3. The system shall calculate total resources according to individual program rules and apply asset eligibility according to program rules. Key: 60307   XRef: IWF35

4. The system shall categorize financial resources details by types such as bank accounts, credit union accounts, retirement accounts, CDs, 401(K) and any other savings. Key: 60304   XRef: IWF36

5. The system shall capture data on financial institutions including but not limited to name, address, ticker symbol, etc. Key: 60309   XRef: IWF36.1

6. The system shall allow the worker to capture account details regarding resources. Key: 60319   XRef: IWF37

7. The system shall categorize assets details by types such as houses, cars, trucks, motorcycles, motor homes, boats, mobile home etc. Key: 60308   XRef: IWF38

8. The system shall capture situations where a mobile home in which they reside is owned but do not own the property. Key: 60311   XRef: IWF38.1

9. The system shall allow the worker to capture whether or not the resource is "co-owned". Key: 60317   XRef: IWF39

10. The system shall allow the worker to capture the details associated with the "co-owner" of any resource. Key: 60313   XRef: IWF40

11. The system shall capture property/real estate with land or housing that has value or that is leased, rented or borrowed out or life estate or ownership interest on property. Key: 60303   XRef: IWF41

12. The system shall capture the number of heirs and calculate the ownership interest. Key: 60318   XRef: IWF41.1

13. The system shall capture if anyone has, within the last 60 months, sold, transferred, given away, traded a resource/asset or has closed an account. Key: 60306   XRef: IWF42

14. The system shall capture the cash surrender and face value of any life/burial insurance policies. Key: 60315   XRef: IWF43

15. The system shall capture information on a pre-paid burial. Key: 60320   XRef: IWF43.1

16. The system shall capture individual values of resources/assets and total them for eligibility determination purposes. Key: 60310   XRef: IWF44

17. The system shall capture whether or not the resource was excluded and the reason for exclusion. Key: 60316   XRef: IWF44.1

18. The system shall capture if a nursing home resident is still paying a mortgage and track foreclosures. Key: 60314   XRef: IWF44.2

19. The system shall capture information on liens. Key: 60321   XRef: IWF44.3

2.4.5 Validation and Verification of Eligibility

1. The system shall provide the capability for documents to be managed electronically during the intake process as defined in the requirements for document management. Key: 60322   XRef: IWF45

2. The system shall provide the capability to track and control information and identify source documents that are missing at the time of initial data entry Key: 60323   XRef: IWF46

3. The system shall track the dates missing information is received. Key: 60325   XRef: IWF46.1

4. The system shall allow the documents to be scanned into the electronic case file and the ability to organize records and documents. Key: 60324   XRef: IWF46.2

5. The system shall allow for the worker to be able to access data validation and verification information from any point during intake Key: 60326   XRef: IWF47

6. The system shall provide an electronic capability to share with other internal and external data sources, including other state agency sources, federal sources, and available commercial information sources, to obtain information that is needed to verify and validate eligibility information that has been received from the applicant/eligible, or to search for additional information that is needed Key: 60327   XRef: IWF48

7. The system shall support the worker in making direct inquiries into other sources of data during intake as defined by interface requirements. Key: 60328   XRef: IWF49

2.4.6 Confidential Cases

1. The system shall provide the ability to designate any intake and any case as confidential at any time. Key: 61003   XRef: IWF50

2. The system shall allow only authorized workers to view and update the information in cases deemed to be confidential Key: 61004   XRef: IWF51

3. The system shall display to unauthorized workers a visual indicator that the case is deemed to be confidential and access is unauthorized. Key: 61005   XRef: IWF52

4. The system shall automatically designate the case of a staff member as confidential. Key: 61006   XRef: IWF53

5. The system shall require an explanation when a case or intake is made confidential and when it is changed by an authorized worker. Key: 61007   XRef: IWF54

2.5 Electronic Case File

1. The system shall provide for the establishment of an electronic case file using minimum data. Key: 60136   XRef: IEC001

2. The system shall provide for pre-population of an electronic case file to the extent possible with information submitted electronically by an application assister or applicant, or from previously submitted information or public information, as well as from batch program actions. Key: 60134   XRef: IEC002

3. The system shall provide the capability to print all or part of the electronic case file information. Key: 60135   XRef: IEC003

4. The system shall provide the capability to create and maintain an electronic case file of all applicants/eligibles and families requesting services from the time that they first make an entry to the system. Key: 60131   XRef: IEC004

5. The system shall provide the capability to set up an electronic case file that is organized to record the application and documentation information including multi-media and speech submitted by an individual or family. Key: 60127   XRef: IEC005

6. The system shall provide the capability to generate an electronic case file that records all application questions and responses, and organizes all supporting documentation and images in an easy-to-use format. Key: 60130   XRef: IEC006

7. The system shall provide the capability to organize information in case files in multiple formats, including in accordance with key eligibility requirements and MEQC and PERM audit protocols in order to help direct worker attention to the key requirements to consider for quality control purposes, and to facilitate and expedite MEQC and PERM review efforts. Key: 60132   XRef: IEC007

8. The system shall maintain a history of documents and reports received, track these items and make them accessible in the electronic case file, so that information can be shared across programs and agencies using a HIPAA compliant method. Key: 60125   XRef: IEC008

9. The system shall have the capability to provide a worker with a profile of information obtained, validated, and verified, and the sources for information, at the time an application is forwarded to a worker for follow up case handling. Key: 60126   XRef: IEC009

10. The electronic case file subsystem shall correctly accommodate and process information that contains dates in current, previous, and future centuries (ISO Standard). Key: 60133   XRef: IEC010

11. The electronic case file subsystem shall provide date translation from other date formats and have capability that includes but is not limited to, century recognition, calculation, and logic that accommodate same-century and multi-century formulas and date values, and date interface values that reflect the century. Key: 60128   XRef: IEC011

12. The electronic case file subsystem shall have scripting capability that will allow for evaluation of the contents of two or more fields on the same record, as well as of fields in objects linked to that record. Key: 60129   XRef: IEC012

3.0 Eligibility

3.1 Eligibility - General

1. The system shall be able to handle multiple and different types of case actions including receipt of new applications, pends, awards, denials, a change in circumstances that may or may not impact eligibility, suspensions, reapplications, redeterminations, case closures/terminations, and exparte. Key: 59536   XRef: EDT1

2. The system shall provide the capability to automate eligibility actions such as awards, denials, pending, suspensions, terminations, renewals, alerts, notifications, expartes, and interim actions. Key: 59537   XRef: EDT2

3. The system shall be able to pend an application and applicants until eligibility has been determined. Key: 59539   XRef: EDT3

4. The system shall provide the capability to pend and award one program while the determination of benefits for a separate program remains pending or active. Key: 59540   XRef: EDT4

5. The system shall provide the capability for the worker or applicant to save applications (for both initial applications and updates to the application) in progress and access them at a later point with all of the information still populated. Key: 59541   XRef: EDT5

6. The system shall carry forward all updated information in the eligibility process and not require the worker to re-enter any previously acquired information. Key: 59542   XRef: EDT6

7. The system shall allow the worker to import all or part(s) of an applicant's completed web application or use an application that already exists in the system to determine eligibility. Key: 59543   XRef: EDT7

8. The system shall track and record changes made to the application or eligibility determination up until the point the eligibility decision is finalized. Key: 59544   XRef: EDT8

9. The system shall apply program rules to ensure data is only required to be captured for applicants and those individuals whose circumstances are included in determining eligibility (data on other individuals may be allowed but not required) Key: 59545   XRef: EDT10

10. The system shall perform edits that ensure that all required and appropriate data is documented to complete the application process. Key: 59546   XRef: EDT9

11. The system shall provide the capability to identify and track recipients that may qualify for multiple programs. Key: 59547   XRef: EDT11

12. The system shall provide an automated hierarchical or cascading eligibility determination approach that is table-driven, for Medicaid categories, to deliver the optimum benefits to each household member based on individual and household circumstances. Key: 59549   XRef: EDT12

13. The system shall establish household groupings, and will allow worker override according to Agency policy, automatically. Key: 59550   XRef: EDT13

14. The system shall determine the household/family size and identify the members of the case whose income, assets, expenses, and circumstances must be considered in the determination of eligibility in accordance with program rules, and will allow worker override. Key: 59552   XRef: EDT14

15. The system shall, when the household fails financial tests, run a cascading test for a smaller family unit to establish eligibility for as many household members as possible. Key: 59553   XRef: EDT15

16. The system shall provide the capability for individuals in a household to receive different benefits, though a household may represent a single case. Key: 59554   XRef: EDT16

17. The system shall assign and display an eligibility status and program for each household member, including those who are in a case but have no eligibility (e.g., pending, approved, denied, etc.). Key: 59556   XRef: EDT17

18. The system shall determine eligibility for multiple programs and multiple Medicaid categories as defined by Agency policy. Key: 59557   XRef: EDT18

19. The system shall automatically allow for open, pend, update, terminate, exparte, suspend, or create a closed period of eligibility of individuals found eligible by another agency administering the eligibility process. Key: 59558   XRef: EDT19

20. The system shall provide the capability to automatically open, pend, update, terminate, exparte, suspend, or create a closed period of eligibility for Medicaid for SSI-eligible individuals directly from the SDX interface as well as allowing these cases to be created manually by authorized staff. Key: 59561   XRef: EDT20

21. The system shall provide the capability to automatically award retroactive Medicaid for SSI-eligible individuals based on data on the SDX. Key: 59562   XRef: EDT21

22. The system shall provide the capability to award retroactive Medicaid for SSI-eligible individuals prior to the SSI-eligible date based on data on the SDX and Agency specifications. Key: 59563   XRef: EDT21.1

23. The system shall provide the capability to award retroactive eligibility for the 3 months prior to Medicaid application. Key: 59564   XRef: EDT21.2

24. The system shall provide the capability to capture and display any retroactive eligibility dates prior to the current month and the issuance date for the purpose of claims processing. Key: 59565   XRef: EDT21.3

25. The system shall provide the capability to automatically exparte post-partum women to the Family Planning Waiver Program (Plan First) under established criteria. Key: 59566   XRef: EDT22

26. The system shall provide the capability to perform an exparte for an eligible individual if they have been terminated from another program. Key: 59568   XRef: EDT22.1

27. The system shall be capable of determining eligibility for the following Alabama Medicaid programs/categories (including but not limited to): Adopted Children, state and federal adoption subsidy groups, Aged Groups, Blind Groups, Breast and Cervical Cancer Program, Child of an SSI mother, Children under the age of 19,Children under 21 years of age in a psychiatric facility, Continuous Medicaid (Pickle Program), Department of Youth Services Children, Disabled Groups, Disabled Adult Child (DAC) Program, Disabled Widow/Widower Program, Disaster Survivors/Evacuees, Early Widow/Widower and Deemed Widow/Widower Program, Elderly and Disabled Waiver, Emergency Services for Aliens, Foster Children, Grandfathered Children, Grandfathered Nursing Home Medicaid, HIV/AIDS Waiver, Hospital Medicaid, Living at Home Waiver, Medicaid in an ICF-MR Facility, Nursing Home Medicaid, Payee Only, Plan First

Family Planning Waiver, Post Extended Hospital Care (PRC), Pregnant Women, Psychiatric/Geriatric Medicaid, Qualified Disabled Working Individuals, Qualified Medicare Beneficiaries (QMB), Qualifying Individual-1 (QI-1), Refugee Medical Assistance, Retroactive Medicaid, Retroactive SSI Medicaid, Specified Low Income Medicare Beneficiary (SLMB), State Of Alabama Independent Living Waiver (SAIL), Technology Assisted Waiver for Adults, Transitional Medicaid for Adults and Children Key: 59569   XRef: EDT23

28. The system shall allow the workflow to be configurable so that it follows the application process. Key: 59570   XRef: EDT25

29. The system shall provide an automated eligibility determination via a rules-based engine that is easily configurable to allow for new programs to be added and changes to existing programs. Key: 59571   XRef: EDT26

30. The system shall provide the capability to easily update rule tables when policy changes occur, based on Role permissions. Key: 59572   XRef: EDT27

31. The system shall allow rules to be date driven with begin and end dates. Key: 59573   XRef: EDT28

32. The system shall contain a rules trace and highlight all factors where the applicant failed eligibility. Key: 59576   XRef: EDT29

33. The system shall determine eligibility based on data entered and business rules. Key: 59577   XRef: EDT29.1

34. The system shall, in the case of exceptional circumstances, provide the capability for an individual to be eligible for multiple programs in the same month (e.g., QMB/SLMB recipient who becomes eligible for full coverage). Key: 59578   XRef: EDT30

35. The system shall maintain an audit trail of eligibility actions in the applicant/eligible's electronic case file. Key: 59579   XRef: EDT30.1

36. The system shall provide a summary view in the electronic case file of applicant/eligible eligibility history. Key: 59580   XRef: EDT31

37. The system shall display eligibility history by eligibility segments that are date driven (with begin and end dates) and provide accurate eligibility program and other information at any point in history. Key: 59582   XRef: EDT32

38. The system shall be capable of suspending an individual for a configurable period of time based on circumstances including but not limited to returned mail or incarceration. Key: 59583   XRef: EDT33

39. The system shall provide the capability to reinstate eligibility without requiring an application process, when applicable (e.g. program closed in error, result of hearing decision, etc.). Key: 59584   XRef: EDT34

40. The system shall provide the capability for managers/QC to electronically review applications against a hierarchy of program eligibility requirements to determine program or programs for which an individual or family may qualify. Key: 59586   XRef: EDT35

41. The system shall track the number of slots available for applicable programs such as waiver programs or QI1 and maintain a waiting list or a recipient count for State or Federal allotment purposes. Key: 59587   XRef: EDT36

3.2 Determine Nonfinancial Eligibility

1. The system, through the use of a rules engine, shall evaluate the nonfinancial eligibility of an applicant and make a determination whether or not the applicant passes or fails nonfinancial eligibility based on Agency policy. Key: 59647   XRef: EDT37

2. The system shall make a determination of each nonfinancial eligibility criteria and display results of each criteria. Key: 59650   XRef: EDT38

3. The system shall display the reason(s) for failure for each nonfinancial eligibility criteria. Key: 59651   XRef: EDT39

4. The system shall capture data on medical, disability and blindness and require this data to be present for those programs for which medical, disability or blindness are an eligibility factor. Key: 59648   XRef: EDT40

5. The system shall provide the capability for the Medical Review Team to approve or deny medical disability requests that impact eligibility. Key: 59649   XRef: EDT41

3.3 Determine Income Eligibility

1. The system, through the use of a rules engine, shall evaluate the income eligibility of an applicant/recipient and make a determination whether or not the applicant passes or fails financial eligibility based on Agency policy. Key: 59652   XRef: EDT42

2. The system, in determining income eligibility, shall apply agency methodology, rules and policy for what income is counted. Key: 59657   XRef: EDT43

3. The system, in determining income eligibility, shall apply the appropriate income standard (dollar amount). Key: 59660   XRef: EDT44

4. The system shall calculate the spousal and family income allocation for institutionalized individuals, as needed. Key: 59659   XRef: EDT45

5. The system shall calculate budgets for deemed income. Key: 59665   XRef: EDT45.1

6. The system shall provide the capability to add the applicant/recipient's earned income and unearned income together to arrive at total countable income. Key: 59654   XRef: EDT46

7. The system shall be able to apply disregards and deductions in the budgeting process. Key: 59663   XRef: EDT46.1

8. The system shall be capable of populating the income allocation into the family member's budget and determining eligibility. Key: 59656   XRef: EDT46.2

9. The system shall perform the calculations to arrive at an applicant's total income according to individual program rules. Key: 59658   XRef: EDT47

10. The system shall make a determination of whether each applicant/recipient meets the income eligibility criteria and display results of each criteria. Key: 59655   XRef: EDT48

11. The system shall display an income calculation for each budget month to show whose and which income was included, how much was counted and the total amount of income. Key: 59653   XRef: EDT49

12. The system shall display the reason(s) for failure for each income eligibility criteria. Key: 59662   XRef: EDT50

13. The system shall highlight in the rules trace where the applicant failed income eligibility. Key: 59661   XRef: EDT51

14. The system shall capture whether an income amount is part of a QIT. Key: 59664   XRef: EDT51.1

3.4 Determine Deductions/Disregards

1. The system, through the use of a rules engine, shall make a determination whether or not an amount shall be deducted in determination of eligibility based on Agency policy. Key: 59666   XRef: EDT52

2. The system shall be able to calculate patient liability taking into account disregards such as VA pension disregards, non-covered medical, allocation, etc. Key: 59667   XRef: EDT52.1

3. The system shall total the allowable deductions/disregards for each applicant. Key: 59671   XRef: EDT53

4. The system shall make a determination and display all deductions and disregards used in the income calculation. Key: 59670   XRef: EDT54

5. The system shall highlight in the rules trace where and how the deduction/disregard was used in determining eligibility. Key: 59669   XRef: EDT55

6. The system shall be able to calculate and make necessary adjustments for non-covered medical expenses such as payments, co pays and premiums. Key: 59668   XRef: EDT55.1

3.5 Determine Resources/Assets

1. The system, through the use of a rules engine, shall evaluate the resource/asset eligibility of an applicant when determining eligibility for those programs requiring a resource/asset test. Key: 59674   XRef: EDT56

2. The system shall, if applicable, make a determination whether or not the applicant passes or fails eligibility based on Agency policy in relation to resources/assets. Key: 59676   XRef: EDT57

3. The system shall make a determination of each resource/asset's impact on eligibility and display results of each determination. Key: 59681   XRef: EDT58

4. The system shall calculate the applicant/recipient's and the household's total resources/assets according to individual program rules. Key: 59680   XRef: EDT59

5. The system, in determining resource eligibility, shall apply the appropriate resource limit according to policy. Key: 59684   XRef: EDT60

6. The system shall display a resource calculation for each budget month to show whose and which resources were included, how much was counted and the total amount of countable resources. Key: 59675   XRef: EDT61

7. The system shall provide the capability to determine if spousal impoverishment rules apply and if applicable, allow a spousal resource assessment to be completed. Key: 59678   XRef: EDT61.1

8. The system shall be capable of calculating a spousal resource assessment based on resources owned at the time of institutionalization and use the calculated amount in the eligibility determination. Key: 59673   XRef: EDT62

9. The system shall automate a spend down of resources calculation for an institutionalized individual. Key: 59685   XRef: EDT63

10. The system shall provide the capability to look at prior assets for a configurable look-back period in determining eligibility. Key: 59682   XRef: EDT64

11. The system shall display banking information such as bank balances that may alert the worker to explore whether a possible transfer of resources has occurred Key: 59679   XRef: EDT65

12. The system shall calculate the period of ineligibility due to a transfer of resources based on the amounts, dates, value of the transferred resources and other predefined criteria after the worker has verified the transfer. Key: 59672   XRef: EDT66

13. The system shall establish and display the date the transfer period of ineligibility begins and ends and the date Medicaid benefits can begin based on Agency policy. Key: 59677   XRef: EDT67

14. The system shall display the reason(s) for failure for each resource determination. Key: 59686   XRef: EDT68

15. The system shall highlight in the rules trace where and how the resource/asset test was applied in determining eligibility. Key: 59683   XRef: EDT69

3.6 Redetermination/Review of Eligibility

1. The system shall track when a redetermination is due, and provide a system alert to the eligibility worker based on program and policy. Key: 59696   XRef: EDT70

2. The system shall allow authorized workers to manually change redetermination dates as needed. Key: 59703   XRef: EDT71

3. The system shall provide the capability to perform automated renewals or passive renewals using case file information and verification data without sending a form to the applicant/recipient. Key: 59690   XRef: EDT72

4. The system shall provide the capability to determine if additional information is needed at the time of renewal based on quality and completeness of information received from family or individual. Key: 59688   XRef: EDT73

5. The system shall, at the time of renewal, only require updates to information needed to complete the renewal. Key: 59701   XRef: EDT74

6. The system shall generate a prepopulated replacement renewal notice and forms needed based on worker request, for mailing/emailing or other notifications to recipients at address on file. Key: 59692   XRef: EDT75

7. The system shall provide the capability to log receipt of returned completed redetermination applications. Key: 59702   XRef: EDT76

8. The system shall automatically close cases for which redetermination forms have not been returned, or review has not been completed. Key: 59698   XRef: EDT77

9. The system shall provide the ability for the Medicaid Agency, to re-determine eligibility for Medicaid recipients at least annually. Key: 59697   XRef: EDT78

10. The system shall allow for redeterminations more frequently than annually for recipients whose circumstances are likely to change or for whom information indicates conditions have changed. Key: 59691   XRef: EDT79

11. The system shall have the ability to automatically schedule redetermination notices to generate for sending to applicant/recipients for redetermination purposes. Key: 59694   XRef: EDT80

12. The system shall have the capability to generate requests to schedule all renewal applications and interviews. Key: 59704   XRef: EDT81

13. The system shall be capable of generating and processing all redetermination/review forms electronically through the web portal. Key: 59700   XRef: EDT82.1

14. The system shall automate and populate, in either English or Spanish, forms necessary to support the eligibility redetermination process. Key: 59695   XRef: EDT83

15. The system shall allow the worker to be able to review and process a redetermination. Key: 59705   XRef: EDT85

16. The system shall provide for automated redetermination of eligibility and recalculation of benefits for a new period of eligibility. Key: 59699   XRef: EDT86

17. The system, through the use of a rules engine, shall evaluate all appropriate eligibility factors including medical, nonfinancial, financial and resource/assets of an applicant and make a redetermination of eligibility as to whether the applicant passes or fails eligibility based on Agency policy. Key: 59689   XRef: EDT87

18. The system shall, at the time of redetermination, automatically interface with SNAP and TANF for processing of express lane eligibility according to Agency specifications. Key: 59693   XRef: EDT87.1

19. The system shall provide a rules engine with the capability to support an integrated eligibility redetermination/ review process across multiple programs allowing for different rules depending on the program. Key: 59687   XRef: EDT87.2

3.7 Eligibility Determination and Enrollment

1. The system shall perform an eligibility determination only when all required data is entered and verify according to business rules. Key: 59712   XRef: ENR1

2. The system shall track associated standard of promptness time frames for disposition due dates. Key: 59717   XRef: ENR2

3. The system shall capture reasons for any untimely dispositions. Key: 59720   XRef: ENR3

4. The system shall provide the capability to create and record the type of eligibility (e.g., full eligibility, Medicare savings program, or Family Planning only) for individuals. Key: 59708   XRef: ENR4

5. The system shall automatically calculate budgets for each program as applicable, and each applicable month as part of the eligibility determination process. Key: 59710   XRef: ENR6

6. The system shall display budgets for each program determination (as applicable) in the individual's electronic case file. Key: 59716   XRef: ENR7

7. The system shall maintain the individual budgets for historical purposes, whether eligible or ineligible, to facilitate recalculation of past months' eligibility and benefits. Key: 59709   XRef: ENR8

8. The system shall display the eligibility results in a manner that is comprehensive and easy to understand (e.g., layman's terms). Key: 59713   XRef: ENR9

9. The system shall provide the capability to display the household financial data used to determine eligibility on an individual level and programs that individual is eligible for. Key: 59707   XRef: ENR10

10. The system shall allow worker or supervisory override of the eligibility determination and require case notes for these actions. Key: 59714   XRef: ENR11

11. The system shall provide a trial eligibility function ("what if") using business rules to calculate eligibility in a test mode and save the test results without overriding the original data (e.g., changing income, resources or family size). Key: 59719   XRef: ENR12

12. The system shall allow authorized workers such as MEQC, policy staff etc., to modify rules in a test mode to determine impact on groups of applicants/beneficiaries and save the test results without overriding the original data. Key: 59706   XRef: ENR13

13. The system shall provide the capability to allow enrollment exemptions for transmission to interChange, such as foster care for Patient First. Key: 59711   XRef: ENR14.1

14. The system shall provide the capability to receive enrollment data from the interChange. Key: 59718   XRef: ENR15

15. The system shall display the plan name, physician name, address and phone number and effective date in the electronic case file. Key: 59715   XRef: ENR17

3.8 Awards and Denials

1. The system shall set eligibility start dates per program and/or Medicaid category according to program rules. Key: 59729   XRef: ENR18

2. The system shall calculate the eligibility period and redetermination date according to program rules and household circumstances. Key: 59726   XRef: ENR19

3. The system shall be capable of establishing eligibility for the appropriate months including allowing breaks in eligibility as required by policy (for example, applicant is eligible for retro Medicaid coverage for June, ineligible for July and August with ongoing eligibility approved effective September). Key: 59723   XRef: ENR20

4. The system shall record and display the program(s) providing optimal benefits for which the applicant/recipient was determined to be eligible. Key: 59725   XRef: ENR21

5. The system shall record and display the program(s) providing optimal benefits and if there is more than one program for which the applicant/recipient is eligible, the worker can select the appropriate program based on the case or input from the applicant/recipient where applicable. Key: 59730   XRef: ENR21.1

6. The system shall record and display the final disposition of an application on the individual level and the household level, where applicable, Key: 59724   XRef: ENR22

7. The system shall record and display the final disposition of an application including whether the individual/application was approved or denied, the approval program and effective date, or the denial reason and denial date. Key: 59721   XRef: ENR22.1

8. The system shall provide the capability for applications to be denied automatically without worker intervention, as allowed by policy (e.g., exceeds the Medicaid income limit). Key: 59722   XRef: ENR23

9. The system shall provide the capability for applications to be denied automatically but prompt the worker for further review. Key: 59727   XRef: ENR24

10. The system shall be capable of tracking all awards and denials. Key: 59731   XRef: ENR24.1

11. The system shall provide a mechanism to elevate final eligibility determinations for supervisory approval as needed. Key: 59728   XRef: ENR25

3.9 Interim Actions/Maintenance

1. The system shall allow applicant/recipients to self-report changes in their personal information online and notify the appropriate case worker when changes are made. Key: 59732   XRef: ENR26

2. The system shall provide the capability to periodically confirm the ongoing eligibility status of cases between eligibility determination periods by searching available verification and validation sources including address, income, employment, and other sources of information Key: 59733   XRef: ENR27

3. The system shall be able to pend new applicants being added to an existing case. Key: 59736   XRef: ENR28

4. The system shall, when certain data such as income is updated due to a change in circumstances, recalculate eligibility and notify the worker. Key: 59734   XRef: ENR29

5. The system shall allow acceptance of electronic change form information from MEQC and others. Key: 59735   XRef: ENR30

3.10 Eligibility Terminations and Disenrollment

1. The system shall provide the capability to process eligibility terminations, both automatically and manually. Key: 59581   XRef: ENR31

2. The system shall provide the capability to process requests for terminations to transmit to interChange for disenrollment. Key: 59574   XRef: ENR32

3. The system shall provide the capability to automatically terminate eligibility for Medicaid when information is received that indicates a case is no longer eligible for benefits. Key: 59555   XRef: ENR33

4. The system shall, upon ineligibility for specified programs, complete the exparte process and terminate the case only if the individual is ineligible for any programs. Key: 59560   XRef: ENR34

5. The system shall, after doing an exparte, if all information is not available to award another program, send a request for information or application for another program where applicable. Key: 59551   XRef: ENR34.1

6. The system shall, when completing the exparte process, terminate one program and open another, if appropriate, without worker intervention but with worker notification. Key: 59559   XRef: ENR35

7. The system shall provide the capability to automatically terminate one program and open another when information is received that a recipient qualifies for another program that provides for a higher level of coverage depending on Agency policy. Key: 59548   XRef: ENR36

8. The system shall record the reason code for program/case closure/termination. Key: 59585   XRef: ENR39

9. The system shall, prior to denying or terminating a case for failure to provide information, trigger a match against other verification sources (for example, SDX, TANF, Food Stamps (SNAP), New Hire and TALX files) and utilize in the eligibility determination, information received. Key: 59567   XRef: ENR40

11. The system shall be capable of processing requests for termination, including those that are received through the website. Key: 59575   XRef: ENR40.1

12. The system shall set the appropriate eligibility periods and ensure beneficiaries with accrual rights or guaranteed periods of eligibility are not terminated except as allowed by policy (e.g., 12 month continuous eligibility for children). Key: 59538   XRef: ENR41

3.11 Document/Notices related to Eligibility

1. The system shall provide the capability to electronically generate, print, and transmit all required eligibility forms as shown in the procurement library (i.e., current forms), and those developed during the business process reengineering. Key: 59588   XRef: ENR42

2. The system shall generate automated and timely notices for all actions defined by the State including case approvals, births, denials, closures, redetermination, suspensions or changes which impact benefits, or expartes, etc.. Key: 59591   XRef: ENR56

3. The system shall have the capability to consolidate notices at the household level prior to sending based on business rules. Key: 59598   XRef: ENR57

4. The system shall be capable of including multiple case actions such as award, denial and termination on a single notice based on business rules. Key: 59597   XRef: ENR57.1

5. The system shall provide the capability to electronically generate, print and transmit all required notices as shown in the procurement library (i.e., current notices) and those developed during the business process reengineering. Key: 59590   XRef: ENR56.1

6. The system shall allow notices to be printed at the central, district, or local offices based on business rules. Key: 59601   XRef: ENR58

7. The system shall have the ability to redirect print to another printer destination based on Agency policy as needed. Key: 59600   XRef: ENR58.1

8. The system shall be capable of generating a notice (checklist) which includes a list of needed actions by the applicant/recipient by a standard due date (with a worker override), depending on the status or type of program applied for. Key: 59589   XRef: ENR59

9. The system shall be capable of generating a follow up alert for the worker to request a second notice (checklist) to be sent if all information is not received by the due date. Key: 59594   XRef: ENR59.1

10. The system shall provide notices (e.g., award, denial, termination and liability change) to the applicant/eligible which include the applicable policy/statutory/administrative code citations and notice of appeal rights. Key: 59592   XRef: ENR63

11. The system shall be capable of generating notices of the patient liability segments for nursing home residents. Key: 59602   XRef: ENR64

12. The system shall generate an award notice to beneficiaries (e.g., MLIF, Transitional Medicaid, Plan First) of reporting requirements (e.g., 10 day reporting, medical support). Key: 59595   XRef: ENR65

13. The system shall have the capability for the worker to include additional remarks to a standard notice. Key: 59605   XRef: ENR65.1

14. The system shall provide the capability to automatically trigger a notice at the time new information is received (e.g., PARIS match, vital stats match) that may change the eligibility status of a case, or which questions the accuracy of information received from the individual or family. Key: 59603   XRef: ENR66

15. The system shall provide a notice or letter that TPL staff can use to generate inquiries to employers and insurance companies to help identify possible TPL information. Key: 59596   XRef: ENR67

16. The system shall be capable of generating a Request for Information form (e.g., to employers, banks, etc.) Key: 59604   XRef: ENR68

17. The system shall generate award and denial/termination notices to the applicant/eligible that include multiple failure reasons related to income, resources, non-financial and verification/validation and any other appropriate failure reasons . Key: 59606   XRef: ENR69

18. The system shall have the flexibility to generate customized notices for non-standardized individual or group situations/programs such as benefits provided for victims of hurricanes and disasters. Key: 59593   XRef: ENR70

19. The system shall be capable of allowing the generation of letters, literature or fact sheets (i.e., handouts) as needed. Key: 59599   XRef: ENR71

3.12 Eligibility & Enrollment Alerts and Reports

3.12.1 Alerts

1. The system shall provide a list to workers of scheduled events (e.g., all redeterminations that are due). Key: 60342   XRef: ENR73

2. The system shall provide a reminder/ follow-up to the worker when the disposition due date is near and list all information still missing. Key: 60335   XRef: ENR74

3. The system shall alert the worker when a LTC segment closes and include the reason code for the closure. Key: 60340   XRef: ENR75

4. The system shall alert the worker when a disability determination decision has been entered on a pending case. Key: 60338   XRef: ENR76

5. The system shall alert the worker when an interpretation request decision has been entered on a pending case. Key: 60339   XRef: ENR77

6. The system shall store the disability determination decision (from LTC, prior authorization or Medicaid physician), emergency services decision, the interpretation request decision (from either policy unit or legal unit), the fair hearing request decision, medical offset decisions and undue hardship decisions. Key: 60330   XRef: ENR77.1

7. The system shall send an alert to the appropriate agency staff regarding taking action on an interpretation request, fair hearing, emergency service, disability determination request, medical offset request or undue hardship request. Key: 60329   XRef: ENR77.2

8. The system shall alert the worker when a fair hearing has been scheduled, when the hearing has been rescheduled, and when a decision has been made. Key: 60333   XRef: ENR78

9. The system shall generate an alert to the worker when a medical offset decision has been entered. Key: 60343   XRef: ENR79

10. The system shall generate an alert to the worker when an emergency services decision has been entered. Key: 60341   XRef: ENR79.1

11. The system shall produce an alert to the worker that a beneficiary's income has decreased and needs to be evaluated for eligibility under a program with greater benefits (e.g., MLIF, from SLMB to QMB). Key: 60331   XRef: ENR80

12. The system shall alert the worker of any change made to data as a result of an interface or data match according to Agency rules. Key: 60336   XRef: ENR81

13. The system shall send an alert to the TPL unit when health insurance information is added, updated or deleted by the worker, when Good Cause is requested or LTC policy information is entered. Key: 60332   XRef: ENR82

14. The system shall, upon termination of a case with an existing lien or trust, generate an alert to the appropriate TPL worker. Key: 60337   XRef: ENR83

15. The system shall alert the worker when an undue hardship decision has been entered on a case. Key: 60344   XRef: ENR83.1

16. The system shall alert the district office that the institutional level of care has been met and the slot is available for waiver services. Key: 60334   XRef: ENR103.1

3.12.2 Reports

1. The system shall provide the capability to generate all reports requested by the State. Key: 60357   XRef: ENR84

2. The system shall provide the capability to generate managerial reports based on tracking of specific denial and termination reasons, and awards by program for individuals and cases. Key: 60352   XRef: ENR84.1

3. The system shall provide the ability to report on processing times, and achievement of standards of promptness by worker, office, district, county, zone/region, state, etc. Key: 60354   XRef: ENR85

4. The system shall have the capability to track the number of days a case has been pending and report the pending timeframes by worker, office, district, county, zone/region, state, etc. Key: 60351   XRef: ENR85.1

5. The system shall allow workers/managers to generate ad-hoc reports. Key: 60358   XRef: ENR86

6. The system shall generate a productivity report for the worker, at predetermined timeframes that provides a summary of actions taken such as all cases worked on, interim actions taken, alerts generated, notices/forms mailed and other predefined information. Key: 60347   XRef: ENR87

7. The system shall generate a daily activity report that displays actions the system generated without worker intervention including awards, denials, terminations or other actions. Key: 60353   XRef: ENR88

8. The system shall produce a managerial report which includes worker caseload statistics including information on cases which are pending, interim actions taken/needed and other information predefined by managers. Key: 60346   XRef: ENR90

9. The system shall produce a managerial report of aberrant transaction usage (a report which identifies non-typical usage such as a worker browsing records unrelated to assigned caseload). Key: 60350   XRef: ENR91

10. The system shall produce a daily priority report to the worker of items requiring immediate action such as new applications/ redeterminations received or additional documentation entered on a case. Key: 60349   XRef: ENR92

11. The system shall provide the capability for workers to indicate that tasks requiring action have been completed and continue to show items not completed on the priority report for the following day. Key: 60348   XRef: ENR93

12. The system shall produce a daily activity report for each worker that includes a summary of actions taken, time expended on the computer by application or transaction (e.g., notices/forms

generated on the worker's caseload, interim actions, approvals, termination notices sent, etc.). Key: 60345   XRef: ENR94

13. The system shall generate a managerial report tracking and detailing worker activities with layout and required data to be defined by the state. Key: 60355   XRef: ENR95

14. The system shall facilitate the hospital and/or interChange claims reporting of newborns by automatically adding/updating the newborn or alerting the worker to add the newborn to the mother's case record and generate a report of the actions taken. Key: 60356   XRef: ENR95.1

3.13 Validation/Verification of Eligibility Data

1. The rules engine shall apply all business rules regarding need for validation and verification of data. Key: 59621   XRef: ENR96

2. The system shall identify, produce a list, display and record verifications required for the applicant/eligible based on Agency rules. Key: 59617   XRef: ENR97

3. The system shall establish due dates for verification and permit override of the due dates. Key: 59622   XRef: ENR98

4. The system shall provide the capability to record the verification of applicant/eligible information according to business rules. Key: 59618   XRef: ENR99

5. The system shall identify when information requires verification based on program rules. Key: 59623   XRef: ENR100

6. The system shall perform an electronic search of available external information sources at the time an application is loaded/entered in the system to help validate and verify information provided and search for missing information or data. Key: 59607   XRef: ENR101

7. The system shall identify missing information in an application before the application is forwarded to a worker for review. Key: 59619   XRef: ENR102

8. The system shall verify applicant name, date of birth, gender, Social Security Number, Medicare claim number and other required demographic elements by matching against available state, federal, and commercial sources as part of the eligibility determination process. Key: 59620   XRef: ENR103

9. The system shall provide the capability to transition back and forth from waiver/community and institutional settings displaying the correct program identifier and begin/end dates of each program. Key: 59611   XRef: ENR103.2

10. The system shall validate and verify the self-reported social security numbers (SSNs) with the SSNs on SSA's Numident and alert the worker to discrepancies. Key: 59615   XRef: ENR105

11. The system shall automatically update dates of death and birth or alert worker to discrepant birth/death dates based on data received from the DPH Vital Statistics and the Electronic Verification of Vital Events based on Agency rules. Key: 59608   XRef: ENR106

12. The system shall provide a cascading approach to auto populate the birth and death dates into the electronic case file if there is no discrepant data. Key: 59616   XRef: ENR107

13. The system shall provide the capability to easily configure the action to take on information received from interfaces/data matches using a cascading approach (e.g., update a field and run an eligibility determination, compare for discrepant data, alert worker, etc). Key: 59614   XRef: ENR107.1

14. The system shall create an alert to the worker and maintain a viewable copy of any information that is validated or verified from interfaces/data matches according to Agency rules. Key: 59613   XRef: ENR108

15. The system shall provide the capability to electronically search a scanned document to determine if it meets the criteria for a valid application (e.g., unsigned application, missing name or address). Key: 59610   XRef: ENR109

16. The system shall allow the worker to be able to access data validation and verification information from any point in the eligibility determination process (pre-interview, post-interview, etc.) Key: 59612   XRef: ENR110

17. The system shall automate the COLA process by populating appropriate financial fields with new amounts, performing a determination of eligibility and generating notices for all populations, as received from the basic rate increase (BRI) BENDEX annual file and Black Lung (i.e., BENDEX COLA, Black Lung, SSA COLA). Key: 59609   XRef: ENR112

3.14 Medicare Related (MSP, DUAL Eligible, Buy-In)

1. The system shall allow a request for SVES information to be triggered. Key: 59630   XRef: ENR113

2. The system shall automatically run a determination of eligibility and take appropriate action for MSP (QMB, SLMB, QI1 and QDWI) and notify the worker according to Agency specifications when information is received from a valid source (e.g., interChange, SVES, BENDEX, EDB) that the beneficiary either begins or stops receiving Medicare. Key: 59628   XRef: ENR114

3. The system shall set the begin and end dates for Medicare Savings Programs (MSP) based on the Medicare entitlement dates and Agency policy. Key: 59625   XRef: ENR115

4. The system shall trigger Medicare buy-in to begin or end based on information received on the EDB and/or SVES files. Key: 59627   XRef: ENR116

5. The system shall award and terminate Medicare buy-in based on the Medicare entitlement dates. Key: 59629   XRef: ENR117

6. The system shall, for purposes of reporting months of dual eligibility for MMA to CMS, use the Medicare entitlement dates. Key: 59626   XRef: ENR118

7. The system shall send an indicator of institutional status and will include HCBS waiver for dual eligibles based on appropriate criteria to and from CMS. Key: 59624   XRef: ENR119

3.15 Hearings/Grievance and Appeals

1. The system shall provide support for the applicant/eligible grievance and appeal business process. Key: 59640   XRef: IAP1

2. The system shall provide the capability to provide an indicator, the date a hearing request is received, whether it was filed timely, the person who received it, and associate it with the electronic case file. Key: 59632   XRef: IAP2

3. When a hearing request is received, the system will check for duplicates and will either pend or deny based on user-defined criteria. Key: 59635   XRef: IAP3

4. The system shall provide the capability to indicate if the beneficiary has requested continued coverage and whether benefits have been continued. Key: 59634   XRef: IAP4

5. The system shall send an alert to URC, PI, Legal and CROCS teams as appropriate, when the hearing is requested or scheduled. Key: 59637   XRef: IAP4.1

6. The system shall allow eligibility to be continued or reinstated as a result of a timely hearing request. Key: 59638   XRef: IAP5

7. The system shall capture the date the hearing is scheduled. Key: 59646   XRef: IAP6

8. The system shall automate and provide the capability to electronically generate, print, and transmit the Hearing Summary Form. Key: 59636   XRef: IAP7

9. The system shall provide the capability to flag an applicant/eligible's file when a grievance or appeal is filed indicating there is a request for a hearing. Key: 59633   XRef: IAP8

10. The system shall track whether or not an informal conference or case review is requested and the outcome. Key: 59639   XRef: IAP9

11. The system shall have the capability to hold the redetermination of eligibility based on the changes made to the beneficiary's record if a grievance or appeal is in process and the benefits have been continued. Key: 59631   XRef: IAP10

12. The system shall allow an override of "holds" to redetermination by the authorized worker. Key: 59643   XRef: IAP11

13. The system shall capture the date the hearing was held and the outcome/decision. Key: 59644   XRef: IAP12

14. The system shall capture the date a request to withdraw a hearing is received. Key: 59645   XRef: IAP13

15. The system shall provide a comment field for free format documentation for grievance and appeals. Key: 59641   XRef: IAP14

16. The system shall provide the capability to notify the applicant/eligible of the appeal outcome. Key: 59642   XRef: IAP15

4.0 Case Management

4.1 Case Record Management

4.1.1 General

1. The system shall support all updates real time to applicant/eligible data required to maintain current status. Key: 60369   XRef: CRM1

2. The system shall support and maintain applicant/eligible demographic data such as multiple addresses, region code assignment(s), e.g. county or other, guardian, sponsor, custodian, representative payee name and address, zip plus 4 on all addresses, date of birth, date of death, pregnancy date of delivery, race(s), sex, marital status, ethnicity or tribal designation, emancipated youth indicator, eligibility reason indicator, eligibility program code, primary language spoken, primary language for correspondence, benefit address, custody status, telephone numbers-i.e. home, cell, work, guardian and individual ownership of phone, fax number, email address, text number or pager number, head or applicant/eligible of household, foster care indicator, foster care for EPSDT mailing indicator. Key: 60380   XRef: CRM2

3. The system shall support any updates to applicant/eligible identification data, including, but not limited to applicant/eligible ID number, universal identifier-the interChange number to which all other identities shall be linked, name, SSN, case identification number, aliases, ID type, name source, HIC number, Medicare, buy-in. Key: 60384   XRef: CRM3

4. The system shall provide the capability to maintain insurance coverage data, including, but not limited to: a. Carrier b. Policy number c. Group number d. Pharmacy Benefit Manager (PBM) ID and member identification number e. Sponsor, subscriber, or policy holder name/identification number(s) f. Type(s) of coverage g. Dates of coverage h. Date the coverage was added to the database i. Date the coverage was updated j. Court order, including date ranges and responsible payer k. Part D Enrollment Indicator; The record should indicate the member is enrolled in Medicare Part D and identify the plan the member is enrolled in l. Allow for multiple insurance policies Key: 60379   XRef: CRM4

5. The system shall maintain a history of transportation dates. Key: 60382   XRef: CRM5

6. The system shall allow the worker to update original dates of transportation. Key: 60378   XRef: CRM6

7. The system shall maintain the historical status of transportation dates for audit purposes such as original, rescheduled, kept, paid, etc. Key: 60367   XRef: CRM7

8. The system shall provide edits to prevent duplicate entry of treating provider appointment dates. Key: 60375   XRef: CRM8

9. The system shall handle multiple types of case actions by the system worker including case changes/updates that may or may not change eligibility for the purpose of maintaining the electronic case file. Key: 60360   XRef: CRM9

10. The system shall provide the ability to automatically record actions performed systematically e.g. form/letter generation as a result of a response on the application or related to a renewal or change in the system. Key: 60359   XRef: CRM10

11. The system shall allow the worker to access any automatic generated notices for viewing and regeneration. Key: 60372   XRef: CRM11

12. The system shall provide the capability to indicate persons authorized to discuss case information on behalf of an applicant/eligible per Agency procedures. Key: 60363   XRef: CRM12

13. The system shall display all participants and their case status in a case summary (Active/Inactive/Deceased). Key: 60370   XRef: CRM13

14. The system shall allow workers to update, modify and add persons, roles and relationships to an active case. Key: 60371   XRef: CRM14

15. The system shall allow case participants roles and relationships to be modified when a case is re-opened. Key: 60373   XRef: CRM15

16. The system shall provide a history of modifications to case participants, roles, and relationships. Key: 60374   XRef: CRM17

17. The system shall allow multiple concurrent case types within one case. Key: 60381   XRef: CRM18

18. The system shall allow automation of the case initiation. Key: 60383   XRef: CRM19

19. The system shall allow a worker with the proper authority to remove a case member without losing case related information attached to other case member. Key: 60365   XRef: CRM20

20. The system shall provide the capability to maintain an audit trail to document date, time, and authorized worker who updated the applicant/eligible record. Key: 60364   XRef: CRM21

21. The system shall allow for authorized workers to update applicant/eligible records online. Key: 60377   XRef: CRM22

22. The system shall provide the capability to flag beneficiaries that have been placed in lock-in. Key: 60376   XRef: CRM23

23. The system shall provide the capability to identify the name(s) of the provider(s) to which the beneficiary is locked-in. Key: 60368   XRef: CRM24

24. The system shall provide the capability to flag beneficiaries for lock-in segments, organ transplant stays, care management program, and other special programs or conditions. Key: 60361   XRef: CRM25

25. The system shall maintain record/audit trail of any notice sent to beneficiaries (including time/date, user/source, and reason for notice). Key: 60366   XRef: CRM26

26. The system shall provide audit trails, to allow information on all applicant/eligible update source transactions, to be traced through the processing stages to the point where the information is finally recorded, regardless of the method used to update. The ability to trace data from the final place of recording back to its source must also be provided. Key: 60385   XRef: CRM27

27. Provide the capability to maintain current and historical information, with inquiry and update capability, for authorized Agency workers, on Medicare Part A, B, C, D, including, but not

limited to: a. Effective dates b. Termination dates c. Medicare identification number d. Medicare advantage plan information e. Part D PBM information f. Other health plan information g. Medicare Buy-In information h. Part D subsidy information i. Part C information j. Other information as defined by the Agency k. Medicare premium amounts Key: 60362   XRef: CRM28

4.1.2 Scheduling an Appointment

1. The system shall provide the capability to electronically link the scheduling of cases with the worker calendar function Key: 60392   XRef: CRM29

2. The system shall provide the functionality for workers to enter applicant/recipient application requirements and schedule the next available worker based on availability, workload and program function requirement Key: 60386   XRef: CRM30

3. The system shall provide capability to maintain an electronic calendar and schedule for all workers, and to update this calendar and schedule as applications are received Key: 60388   XRef: CRM31

4. The system shall provide capability to electronically generate scheduling, call and appointment notices to families and individuals (such as email, web portal communications, and system-generated letters). Key: 60387   XRef: CRM32

5. The system shall provide capability for workers to block times for interviews, redeterminations, annual leave, protected time, etc Key: 60389   XRef: CRM33

6. Provide capability to block times for entire office, or section, or unit, or workers for staff meetings, etc. in a single action. Key: 60390   XRef: CRM34

7. The system shall provide the capability to record date and type of interview (e.g. initial application, redetermination). Key: 60391   XRef: CRM35

8. The system shall provide capability to record worker appointments in an automated fashion or manually. Key: 60394   XRef: CRM36

9. The system shall provide capability to override system-assigned appointments. Key: 60395   XRef: CRM37

10. The system shall provide capability to schedule group interviews (i.e. several households at same time). Key: 60393   XRef: CRM38

11. The system shall provide for rescheduling of missed appointments. Key: 60396   XRef: CRM39

4.1.3 Case Notes/Narratives

1. The system shall use case management system to enter case notes for each applicant/eligible. Key: 60404   XRef: CRM40

2. The system shall provide searchable notes capability for entering free-form applicant/eligible data in the recipient subsystem. Key: 60400   XRef: CRM41

3. The system shall provide capability to query case notes by program area, date, date range, and staff person involved Key: 60402   XRef: CRM42

4. The system shall provide the ability for worker to add case notes to an applicant/recipient's record regardless of the status of the case. Key: 60398   XRef: CRM43

5. The system shall enable the worker to keep a narrative and chronological listing of notes on each case or application reviewed Key: 60401   XRef: CRM44

6. The system shall provide capability for system to track changes made to a applicant/recipient electronic record and forms so that the electronic records are "auditable" by the State and Federal reviewers Key: 60397   XRef: CRM45

7. The system shall support all case type and programs needs and values for case notes. Key: 60405   XRef: CRM46

8. The system shall provide a method for workers to easily enter lengthy narrative text at various points through the life of a case. Key: 60399   XRef: CRM47

9. The system shall allow for voice recognition for recording notes. Key: 60412   XRef: CRM48

10. The system shall support multiple and configurable case notes types. Key: 60409   XRef: CRM49

11. The system shall allow the worker to print a selected note or series of case notes. Key: 60406   XRef: CRM50

12. The system shall support the ability to attach files to case notes. Key: 60411   XRef: CRM51

13. The system shall have the ability to link a case note on a referral. Key: 60410   XRef: CRM52

14. The system shall allow the worker to attach selected notes to an email. Key: 60408   XRef: CRM53

15. The system shall freeze (notes cannot be modified) case notes after specified period of time. Key: 60403   XRef: CRM54

16. The system shall support addendums to frozen case notes. Key: 60413   XRef: CRM55

17. The system shall provide capability to identify the worker entering the note. Key: 60407   XRef: CRM56

4.1.4 Case Closure

1. The system shall automatically close applicant/eligibles/cases/programs based on applicable eligibility rules resulting from changes in circumstances. Key: 60416   XRef: CRM57

2. The system shall track closure reasons. Key: 60426   XRef: CRM58

3. The system shall automatically generate any required notices including referrals to other entities from case closures. Key: 60421   XRef: CRM59

4. The system shall provide a system alert to the worker when a case needs closure that is not closed automatically. Key: 60422   XRef: CRM60

5. The system shall provide the capability to suspend certain benefits for temporary ineligibility, without closing the case. Key: 60420   XRef: CRM61

6. The system shall have real time edits when a worker attempts to close the case. Key: 60423   XRef: CRM62

7. The system shall require a closing reason in order to close a case which will automatically be included in the case narrative. Key: 60418   XRef: CRM63

8. The system shall allow the worker to enter in a narrative when closing a case. Key: 60424   XRef: CRM64

9. The system shall allow an authorized worker to override system edits that prevent a case from being closed with narrative explanation. Key: 60417   XRef: CRM65

10. The system shall display the worker that closed the case or indicate if the closure was system generated (and which system process closed it including a description in plain English). Key: 60415   XRef: CRM66

11. The system shall allow online awards/changes/ closures by authorized staff. Key: 60425   XRef: CRM67

12. The system shall provide the capability to reinstate eligibility by authorized staff without requiring an application process, when applicable (e.g. program closed in error, result of hearing decision, etc.). Key: 60414   XRef: CRM68

13. The system shall automatically route to the appropriate supervisory worker actions that require approval per business rules. Key: 60419   XRef: CRM69

4.1.5 Reports/Documents related to Case Record Management

1. The system shall provide a dash board control function to show the application completion status of each application and the capability to view status by program Key: 60427   XRef: CRM70

2. The system shall provide reports for each program in/under Beneficiary Services that can be run for a particular program or across programs Key: 60429   XRef: CRM72

3. The system shall provide the capability to generate a report if a duplicate ID number(s) has been assigned to a applicant/eligible. Key: 60430   XRef: CRM73

4. The system shall provide the capability to produce reporting on potential duplicate records and merge statistics. Key: 60432   XRef: CRM74

5. The system shall provide the capability to generate all required Agency and Federal reports, in the format, media and schedule specified by the Agency Key: 60428   XRef: CRM75

6. The system shall provide a report listing of potential TPL cases with insufficient information. Key: 60434   XRef: CRM76

7. The system shall automatically send outreach and education materials to recipients who have been terminated for benefits Key: 60431   XRef: CRM77

8. The system shall allow the worker to generate adhoc reports. Key: 60435   XRef: CRM78

9. The system shall allow utilization of all data in the recipient subsystem for reporting purposes. Key: 60433   XRef: CRM79

4.1.6 System Alerts, Worker Alerts and Notices for Case Record Management

1. The system shall provide the capability to electronically generate notices for missing information or additional required information with the specific information and text that is required Key: 60436   XRef: CRM80

2. The system shall provide the functionality to automatically generate notices by mail, email, phone or fax. Key: 60442   XRef: CRM81

3. The system shall generate notices automatically based on processing, such as but not limited to termination, denials, awards, etc. Key: 60440   XRef: CRM82

4. The system shall transmit awards and terminations to interChange for enrollment and disenrollment. Key: 60444   XRef: CRM82.1

5. The system shall provide the capability for mass notification including adhoc. Key: 60448   XRef: CRM83

6. The system shall allow workers to insert unlimited free form text in notices where allowed by agency policy. Key: 60441   XRef: CRM84

7. The system shall allow workers to generate or regenerate a notice/form upon demand. Key: 60447   XRef: CRM85

8. The system shall allow worker to override the primary address designated for mailings. Key: 60446   XRef: CRM86

9. The system shall generate various letters as further defined by the Agency. Key: 60449   XRef: CRM87

10. The system shall provide an indicator to suppress generation of documents containing applicant/eligible identification for confidential services or other reasons. Key: 60438   XRef: CRM88

11. DRAFT: The system shall generate appointment notices for all renewal applications and interviews Key: 60445   XRef: CRM89

12. The system shall provide a system alert to workers associated with a case when information is noted that may affect the eligibility status of a case (such as a change in address or income) Key: 60437   XRef: CRM90

13. The system shall provide a system alert to identify that a lien, mortgage or a trust exists on a case Key: 60443   XRef: CRM91

14. The system shall provide capability to generate a system alert to workers of all cases requiring a follow up case action based on audit results and findings. Key: 60439   XRef: CRM92

4.2 Caseload Administration

4.2.1 Caseloads

1. The system shall provide for a caseload tracking system to assist management in analyzing worker activities to establish priorities, trends and distribution of caseloads. Key: 60451   XRef: CLM1

2. The system shall allow recording and tracking of applicant/eligible and case information such that each applicant/eligible and household is able to receive benefits from multiple programs, with accurate applicant/eligible and caseload counts. Key: 60452   XRef: CLM2

3. The system shall use applicant/eligible, case and caseload counts in producing statistics for management to use in reviewing worker caseloads. Key: 60453   XRef: CLM3

4. The system shall provide management reports that both cumulate (i.e. roll-up) and individualize data from individual workers. Key: 60455   XRef: CLM4

5. The system shall provide a configurable work distribution process that can be managed by the Agency workers with the appropriate security. Key: 60454   XRef: CLM5

6. The system shall identify those workers that are over Agency caseload standards. Key: 60456   XRef: CLM6

7. The system shall allow supervisors to view worker's tasks/alerts. Key: 60457   XRef: CLM7

8. The system shall maintain a history of case/caseload assignments. Key: 60458   XRef: CLM8

9. The system shall provide a "what if" functionality to assist the Agency in applying potential policy changes under consideration to all or part of a caseload for any or all programs to analyze impact. Key: 60450   XRef: CLM9

4.2.2 Case/Caseload Assignment

1. The system shall include the capability to electronically assign applicants with a worker, based on a table driven set of assignment/scheduling parameters, for example first letter of last name, availability of workers, city, zip codes, counties, facility and other considerations Key: 60460   XRef: CLM10

2. The system shall provide the ability for authorized workers to override the automatic distribution of cases and distribute them manually. Key: 60459   XRef: CLM11

3. The system shall provide the ability to assign multiple workers to one case Key: 60463   XRef: CLM12

4. The system shall provide the ability to determine worker availability or unavailability in making case assignments. Key: 60461   XRef: CLM13

5. The system shall display listings of available staff for case assignments based on caseload counts. Key: 60462   XRef: CLM14

6. The system shall identify all workers responsible for the case. Key: 60464   XRef: CLM15

4.2.3 Case Transfer

1. The system shall provide the capability to electronically reassign cases among workers. Key: 60472   XRef: CLM16

2. The system shall allow the authorized worker to override the electronic reassignment of cases to workers. Key: 60469   XRef: CLM17

3. The system shall provide the ability for authorized workers to transfer individual cases or entire caseloads from one worker to another. Key: 60466   XRef: CLM18

4. The system shall provide the capability to transfer a case to another office or unit. Key: 60473   XRef: CLM19

5. The system shall provide the capability to create and assign a temporary "generic" worker for the transfer of cases to another office. Key: 60467   XRef: CLM20

6. The system shall have the ability to reassign entire caseloads to support equitable redistribution. Key: 60470   XRef: CLM21

7. The system shall ensure all alerts remain with cases when re-assigned. Key: 60474   XRef: CLM22

8. The system shall automatically provide required notifications to all parties impacted by the reassignment of cases. Key: 60468   XRef: CLM23

9. The system shall provide the capability for authorized worker to cover a case or an entire caseload for temporary periods of time without requiring reassignment. Key: 60465   XRef: CLM24

10. The system shall produce a system alert to the receiving office or worker of case transfer. Key: 60471   XRef: CLM25

4.2.4 Caseload Workflow

Recipient Subsystem Modernization Project
Draft System Requirements

Recipient Subsystem Modernizatinon Project
Alabama Medicaid Agency
MEDICAID
Information Services Division

1. The system shall support workflow as defined by the Agency for all aspects of Recipient Subsystem business processes, including for example intake, referral, eligibility verification, eligibility determination, etc. Key: 60476   XRef: CLM26

2. The system shall support interactions between workers and a workflow engine to manage the work required to execute the business needs of the Agency. Key: 60481   XRef: CLM27

3. The system workflow rules engine shall be rules-based and easily modifiable by authorized workers. Key: 60488   XRef: CLM28

4. The system shall provide the capability within the workflow engine to enable the majority of processing to be automated and forwarded to designated work queues, and processed according to specified business rules, rather than manual navigation by workers. Key: 60482   XRef: CLM29

5. The system's workflow engine shall take automatic actions as defined by the Agency, without worker intervention, for example child aging out of current Medicaid category, suspensions based on returned mail, etc. Key: 60477   XRef: CLM30

6. The system shall provide a system alert to the worker when automatic actions are taken by the workflow engine. Key: 60483   XRef: CLM31

7. The system shall consistently apply workflow rules to workers as defined by role, task or case type(s). Key: 60486   XRef: CLM32

8. The system shall allow specific work configurations by program area. Key: 60491   XRef: CLM33

9. The system workflow rules engine shall support priorities, security alerts, and multi-routing of tasks including escalation to multiple layers of management. Key: 60479   XRef: CLM34

10. The system shall provide the ability to update and access status of a process within a workflow (e.g., started, completed, at step 3, waiting for approval) from application to the point the eligibility decision is finalized. Key: 60475   XRef: CLM35

11. The system shall provide the capability to save work in progress, exit the workflow, access work at a later point with all of the information still populated from the previous worker's actions so as previous work will not need to be repeated and the worker can enter the workflow where they left off. Key: 60487   XRef: CLM36

12. The system shall provide the capability to automatically forward completed tasks to the next responsible party or parties, when multiple levels of effort are required for resolution. Key: 60478   XRef: CLM37

13. The system shall create work items in workflow as a result of alerts from the web portal when changes occur. Key: 60484   XRef: CLM38

14. The system shall provide capability to easily add customized emergency groups as required by Agency need. Key: 60485   XRef: CLM39

15. The system shall support the tracking needs surrounding emergency groups and services. Key: 60490   XRef: CLM40

16. The system shall produce on a daily basis documentation to provide statistical performance information on a worker's activities in relation to the workflow. Key: 60480   XRef: CLM41

17. The system shall produce a cumulative report with very specific worker activities in the form of a statistical performance report based on time parameters sorted by worker/supervisor/cachement area on a weekly, monthly, quarterly, yearly (fiscal and/or calendar) basis and on request. Key: 60489   XRef: CLM 41.1

4.2.5 Merge or Split Case

1. The system shall provide the ability to link together separate records based upon internal IDs, SSN, pseudo SSN, case number, and other criteria specified by the Agency Key: 60494   XRef: CLM42

2. The system shall allow for a case merge. Key: 60498   XRef: CLM43

3. The system shall ensure that when a merge is initiated the authorized worker shall have the ability to select which information shall be merged and used in the merged case eliminating the need for data entry. Key: 60492   XRef: CLM44

4. The system shall allow an authorized worker to reverse the case level data that has been merged. Key: 60496   XRef: CLM45

5. The system shall allow the authorized worker to create a new case for some case participants in an existing case (split case). Key: 60495   XRef: CLM46

6. The system shall ensure that when a split is initiated the authorized worker shall have the ability to select which information shall be copied into the new case eliminating the need for data entry. Key: 60493   XRef: CLM47

7. The system shall allow an authorized worker to reverse a split performed on a case. Key: 60497   XRef: CLM48

4.2.6 Mass Changes

1. The system shall provide a mass change capability to affect all or part of State caseload for any or all programs to accommodate such changes as annual SSA COLA changes, spousal allocations. Key: 60499   XRef: CLM49

2. The system shall provide the capability to perform mass re-assignment of cases on a scheduled or as needed basis. Key: 60501   XRef: CLM50

3. The system shall provide capability to perform mass disenrollment terminations due to changes in status to transmit to interChange for disenrollment. Key: 60500   XRef: CLM51

4.2.7 Changes to Closed Cases

1. The system shall allow the authorized worker to update a closed case for administrative purposes (e.g. update location of paper file, correct information; add missing information, hearing information, etc.). Key: 60503   XRef: CLM52

2. The system shall retain the original closure date if the closed case is updated for administrative purposes. Key: 60505   XRef: CLM53

3. The system shall provide an audit trail of all changes made to a closed case. Key: 60507   XRef: CLM54

4. The system shall require a narrative to be completed to explain why an authorized worker or automated system action made a correction to a completed piece of work. Key: 60504   XRef: CLM55

5. The system shall display an indication online that a change was made to correct an error on completed work for example to correct the date of death, SSI closed periods, or to reopen a closed (denied/terminated) case. Key: 60502   XRef: CLM56

6. The system shall display upon request a list of the closed cases for example archived cases. Key: 60506   XRef: CLM57

5.0 Non-Emergency Transportation (NET)

5.1 General

1. The system shall track the status of NET reimbursement requests from application to the completion of the accounting life cycle. Key: 61008   XRef: NET1

2. The system shall match payment request against both beneficiary and transporter payment history to not allow duplicate NET reimbursement requests to be submitted. Key: 61009   XRef: NET2

3. The system shall allow multiple NET reimbursement requests to be submitted for the same beneficiary/same doctor with different trip dates. Key: 61010   XRef: NET3

4. The system shall allow multiple NET reimbursement requests to be submitted for the same beneficiary/same day based on agency business rules. Key: 61011   XRef: NET3.1

5. The system shall provide an automated eligibility determination for NET reimbursement requests via a rules-based engine that is easily configurable. Key: 61012   XRef: NET4

6. The system shall provide the capability to easily update the rule tables when policy changes occur, based on role permissions. Key: 61013   XRef: NET5

7. The system shall allow rules to be date driven with begin and end dates. Key: 61014   XRef: NET6

8. The system shall contain a rules trace and highlight feature for all factors where the NET reimbursement request fails eligibility. Key: 61015   XRef: NET7

9. The system shall determine eligibility for NET reimbursement based on data entered and business rules. Key: 61016   XRef: NET8

5.2 Maintain Resource Directory

1. The system shall provide the capability to maintain an online Transporter Resource Directory. Key: 61017   XRef: NET9

2. The system online Transporter Resource Directory shall provide for Agency-only authorized input fields for updating transporter information such as payment information, negotiated rate, address, contact information, bank routing and bank account numbers and geographic area served Key: 61018   XRef: NET10

3. The system shall allow authorized workers to update the Transporter Resource Directory. Key: 61019   XRef: NET11

4. The system shall allow authorized workers to update the status of transporters in the Transporter Resource Directory. Key: 61020   XRef: NET12

5. The system shall allow transporters to update specified data in the Transporter Resource Directory such as address, contact information, and geographic area served. Key: 61021   XRef: NET13

6. The system shall generate a system alert to the authorized worker when the transporter has updated the Transporter Resource Directory. Key: 61022   XRef: NET14

7. The system shall require the authorized worker to approve the updates made by the transporter to the Transporter Resource Directory. Key: 61023   XRef: NET15

8. The system shall automatically generate system notices to the transporter of any changes made in the Transporter Resource Directory including approvals of information which the transporter updated online. Key: 61024   XRef: NET16

9. The system shall provide the capability to maintain an online Transporter Resource Directory, with a beneficiary-facing resource link as part of the self-service portal. Key: 61025   XRef: NET17

10. The online Transporter Resource Directory shall feature a user identification/password to ensure confidentiality. Key: 61026   XRef: NET18

11. The system shall provide a view in the Transporter Resource Directory for the applicant/eligible and the transporter to view the status of a NET reimbursement request. Key: 61027   XRef: NET19

5.3 Application

1. The system shall support an online application for NET reimbursements by beneficiary, beneficiary representatives, and call center staff. Key: 61028   XRef: NET20

2. The system shall have the ability to pre-populate the payment request with beneficiary information that is currently on file and allow the beneficiary to change or add information when making an online request for NET reimbursement. Key: 61029   XRef: NET21

3. The system shall allow the applicant/eligible to select the transporter from the Transporter Resource Directory when making a request for NET reimbursement. Key: 61030   XRef: NET22

4. The system shall have the ability to pre-populate the payment request with Transporter information that is selected by the applicant/eligible from the Transporter Resource Directory when they are making their selection of transporter. Key: 61031   XRef: NET23

5. The system shall present the selection list to the applicant/eligible based on search criteria such as name of local transporter, etc. Key: 61032   XRef: NET24

6. The system shall require the beneficiary to indicate the form of transportation such as relative, self, neighbor, family member friend for which the NET reimbursement request is being made. Key: 61033   XRef: NET24.1

7. The system shall require a justification as to why other means of transportation is not available when selecting a transporter at each request. Key: 61034   XRef: NET24.2

8. The system shall alert the authorized worker when a transporter is selected. Key: 61035   XRef: NET24.3

9. The system shall require the authorized worker to approve new transporter request. Key: 61036   XRef: NET24.4

10. The system shall provide the functionality for repeat transporter approvals to be automatically approved. Key: 61037   XRef: NET24.5

11. The system shall automatically update the NET reimbursement request with the information selected by the applicant/eligible from the Transporter Resource Directory. Key: 61038   XRef: NET25

12. The system shall associate any NET reimbursement requests that are faxed, scanned or emailed with the applicant/eligible's electronic case folder. Key: 61039   XRef: NET26

13. The system shall assign a unique identifier for each NET reimbursement request. Key: 61040   XRef: NET27

14. The system shall associate each NET reimbursement request with the beneficiary's system generated unique identifier. Key: 61041   XRef: NET28

15. The system shall require the applicant/eligible to provide contact information in relation to the NET reimbursement unless pre-populated by the system. Key: 61042   XRef: NET30

16. The system shall track all data required for NET reimbursement requests that require escorts. Key: 61043   XRef: NET31

17. The system shall have edits in place to ensure correct data i.e. county of residence, is used when completing an online NET reimbursement request. Key: 61044   XRef: NET32

18. The system shall automatically refer NET requests for out of state travel to the authorized worker. Key: 61045   XRef: NET32.1

19. The system shall support the tracking of out of state NET requests to completion. Key: 61046   XRef: NET32.2

20. The system shall automatically refer out of state NET requests upon the request of the authorized worker to the designated approval authority. Key: 61047   XRef: NET32.3

5.4 Reimbursement Validation

1. The system shall automatically determine if the beneficiary for whom the NET reimbursement request is being made is currently eligible for full coverage Medicaid to validate eligibility for NET payment reimbursement. Key: 61048   XRef: NET33

2. The system shall automatically determine whether or not the NET reimbursement request that includes a request for an escort is eligible. Key: 61049   XRef: NET34

3. The system shall automatically determine whether or not the NET reimbursement request that includes a request for food and lodging is eligible. Key: 61050   XRef: NET35

4. The system shall automatically interface with the MMIS system in order to determine if an applicant/eligible NET reimbursement request is reimbursable based on whether or not the trip limits coverage has been exceeded for both Managed Care and Medicaid Key: 61051   XRef: NET36

5. The system shall notify the authorized worker if the recipient has Managed Care. Key: 61052   XRef: NET36.1

6. The system shall generate a notice to the Managed Care Health Plan to request whether the recipient has used their transport benefits. Key: 61053   XRef: NET36.2

7. The system shall automatically interface with the MMIS system in order to determine if an applicant/eligible NET reimbursement request is reimbursable based on whether or not the provider is an approved Medicaid provider. Key: 61054   XRef: NET37

8. The system shall automatically interface with the MMIS system in order to determine if an applicant/eligible NET reimbursement request is reimbursable based on whether or not the appointment for the NET reimbursement request matches the claim history. Key: 61055   XRef: NET38

9. The system shall deny the NET reimbursement request if information from the MMIS system reflects trip coverage allowed has been exceeded. Key: 61056   XRef: NET39

10. The system shall deny the NET reimbursement request if information from the MMIS system reflects the provider is not a current Medicaid provider. Key: 61057   XRef: NET40

11. The system shall receive data from the MMIS system if the rules engine in the new Recipient Subsystem requires additional information to process the NET reimbursement request such as

EPSDT dates, QMB+, setting for physical therapy, Prior Authorization required, etc. Key: 61058   XRef: NET41

12. The system shall receive an indicator from the MMIS system if the NET reimbursement request matches the claim history. Key: 61059   XRef: NET42

13. The system shall automatically alert the authorized worker if the NET reimbursement request does not match the claim history. Key: 61060   XRef: NET43

14. The system shall automatically assign the pending NET reimbursement request to a NET worker based on a table-driven set of parameters, including geographic location, type of transportation (transporter or private vehicle), availability of workers, and other desired considerations Key: 61061   XRef: NET44

15. The system shall reprocess the NET reimbursement request where claim history does not match until the authorized worker processes (approves or denies) the request. Key: 61062   XRef: NET44.1

16. The system shall generate either an email or fax, pre-populated with system data, to the provider associated with the NET reimbursement request to validate if the appointment was kept if there is not a claim in the system associated with the date of service after the claim has been reprocessed for Agency specified time. Key: 61063   XRef: NET45

17. The system shall require the authorized worker to approve/deny pending NET reimbursement requests when claims history does not match the NET reimbursement request. Key: 61064   XRef: NET46

18. The system shall allow the authorized worker to override the denial. Key: 61065   XRef: NET47

19. The system shall require the authorized user to enter the reason for the denial exception. Key: 61066   XRef: NET48

20. The system shall allow for unlimited narrative notes for case management related to the NET reimbursement requests. Key: 61067   XRef: NET49

21. The system shall escalate system alerts to the authorized supervisor when NET reimbursement requests remain pending. Key: 61068   XRef: NET50

5.5 Denial Notices/Abuse Codes

1. The system shall automatically notify the beneficiary if the NET reimbursement request is denied due to ineligibility or abuse. Key: 61069   XRef: NET51

2. The system shall automatically notify the transporter via email or fax if the NET reimbursement request is denied. Key: 61070   XRef: NET52

5.6 Issue of Reimbursement

1. The system shall automatically assign a unique Prior Authorization (PA) number for all approved reimbursements. Key: 61071   XRef: NET52.2

2. The system shall automatically generate payment for the negotiated transportation trip rate for the transporter when NET reimbursement requests are in approval status. Key: 61072   XRef: NET53

3. The system shall automatically generate payment for non-transporter requests upon the NET reimbursement request reaching an approved status. Key: 61073   XRef: NET54

4. The system shall automatically calculate the amount of payment for non-transporters by calculating mileage from pick up address to treating provider address and return, multiplied by per-mile reimbursement rate. Key: 61074   XRef: NET55

5. The system shall have safeguards in place to eliminate duplicate payments. Key: 61075   XRef: NET56

6. The system shall allow the authorized worker to update mileage reimbursement rates for transporters and beneficiary on a case by case basis or as a mass change. Key: 61076   XRef: NET57

7. The system shall provide for payments for NET reimbursement requests to be rules based to ensure the payee is correct. Key: 61077   XRef: NET58

8. The system shall allow for special payments to be made by the authorized worker when there is an under-issuance. Key: 61078   XRef: NET59

9. The system shall associate the under-issuance with the original NET reimbursement request. Key: 61079   XRef: NET60

10. The system shall automatically transmit approved payments to the applicant/eligible via EBT. Key: 61080   XRef: NET61

11. The system shall automatically generate a request for an EBT card for a newly approved NET recipient. Key: 61081   XRef: NET61.1

12. The system shall automatically document the NET recipient's EBT unique account number via an interface with the EBT vendor. Key: 61082   XRef: NET61.2

13. The system shall automatically update the EBT vendor with address changes. Key: 61083   XRef: NET61.3

14. The system shall allow authorized worker to resubmit EBT card requests for lost or stolen EBT cards electronically. Key: 61084   XRef: NET61.4

15. The system shall automatically transmit the approved payment to the transporter via the EBT vendor as an EFT transaction. Key: 61085   XRef: NET62

16. The system shall provide all NET recipient data and transporter adds/changes shall be sent to EBT vendor on a regular basis. Key: 61086   XRef: NET62.1

17. The system shall track whether or not reimbursements have been voided via information from the EBT vendor. Key: 61087   XRef: NET63

18. The system shall allow the authorized worker to re-issue reimbursements. Key: 61088   XRef: NET64

19. The system shall require the authorized worker to provide a reason for the re-issue of the reimbursement Key: 61089   XRef: NET65

20. The system shall automatically route cases to the authorized worker for any actions requiring approval per agency business rules such as overrides of denials, recoupment, reissuance, etc. Key: 61090   XRef: NET66

5.7 Audit

1. The system shall support the NET audit process. Key: 61091   XRef: NET67

2. The system shall support random sampling for NET cases for audit purposes. Key: 61092   XRef: NET68

3. The system shall support audits for all NET reimbursements paid in advance. Key: 61093   XRef: NET68.1

4. The system shall capture pertinent NET audit information related to this specific audit. Key: 61094   XRef: NET69

5. The system shall allow the authorized worker to document reasons why a NET reimbursement (PA number) failed an audit. Key: 61095   XRef: NET69.1

6. The system shall allow the authorized worker to update the NET Reimbursement PA number as a result of non-compliance findings of an audit. Key: 61096   XRef: NET69.2

7. The system shall provide the ability to route NET audit findings to appropriate parties such as supervisors and management. Key: 61097   XRef: NET71

5.8 Reports

1. The system shall allow the authorized worker to request a range of NET reimbursement requests on an ad hoc basis. Key: 61098   XRef: NET72

6.0 Program Integrity

6.1 General

1. The system shall provide unique views for use only by the Program Integrity Division in the electronic case file separate from the worker's view. Key: 61099   XRef: PIQ1

6.2 Pre-review

1. The system shall have the capability to perform an automated statistically valid sample of cases from the state caseload based on established random selection criteria for Program Integrity reviews for all required samples. Key: 61100   XRef: PIQ2

2. The system shall allow for samples to be pulled for PERM and/or MEQC reviews or both. Key: 61101   XRef: PIQ2.1

3. The system shall support both MEQC and PERM reviews as required by agency standards Key: 61102   XRef: PIQ2.2

4. The system shall allow for a manual selection of cases for review by Program Integrity. Key: 61103   XRef: PIQ3

5. The system shall allow for a manual selection of cases by special characteristics such as those identified as error prone, SOBRA cases, DO Cases, counties, etc. Key: 61104   XRef: PIQ4

6. The system shall allow sample selections to be selected from eligibles, non-eligibles, closed, open and archived cases. Key: 61105   XRef: PIQ5

7. The system shall display a status indicator to the eligibility worker on cases that are under MEQC or PERM review by Program Integrity Key: 61106   XRef: PIQ6

8. The system shall provide a summary view of all cases pulled for the sample. Key: 61107   XRef: PIQ7

9. The system shall allow the worker to sort by multiple parameters all of the sample cases displayed in the summary view. Key: 61108   XRef: PIQ8

10. The system shall indicate whether the case under review is for a PERM or MEQC review or both. Key: 61109   XRef: PIQ8.1

11. The system shall allow the authorized worker to assign cases pulled during the sample to Program Integrity workers as defined by requirements in Organizational Management. Key: 61110   XRef: PIQ9

12. The system shall provide a summary view of all sample cases assigned to a worker. Key: 61111   XRef: PIQ10

13. The system shall electronically identify and display workers responsible for cases. Key: 61112   XRef: PIQ11

14. The system shall allow the worker to sort by multiple parameters the sample cases assigned to them that is displayed in the summary view. Key: 61113   XRef: PIQ12

6.3 Review

1. The system shall pre-populate the Program Integrity review screens with the required information as it appeared in the electronic case folder for the sample period for the purpose of conducting electronic reviews. Key: 61114   XRef: PIQ13

2. The system shall have a structured workflow, within the electronic case folder, which supports the electronic review of cases reviewed by Program Integrity. Key: 61115   XRef: PIQ14

3. The system shall provide the ability to automatically calculate/recalculate benefits based on results of a Program Integrity review. Key: 61116   XRef: PIQ16

4. The system shall provide the capability for the results and findings of reviews conducted by Program Integrity to be recorded and displayed in the electronic case file. Key: 61117   XRef: PIQ17

5. The system will store and allow updates to reviews conducted by Program Integrity. Key: 61118   XRef: PIQ18

6.4 Post Review

1. The system shall support investigations conducted by program integrity as part of the applicant/beneficiary's electronic case file. Key: 61155   XRef: PIQ32

2. The system shall assign a unique system identifier to each investigation intake/complaint received. Key: 61156   XRef: PIQ32.1

3. The system shall associate an investigation intake/complaint with the applicant/recipient for whom it is made. Key: 61157   XRef: PIQ32.2

4. The system shall provide safeguards so all users, except those authorized by program integrity investigators, do not have access to investigations nor can identify those cases under investigation. Key: 61158   XRef: PIQ33

5. The system shall allow the user to document the intake source or contact of an investigations intake/ complaint resulting in a referral for an investigation. Key: 61159   XRef: PIQ33.1

6. The system shall provide a summary view of the case referred to investigation from pertinent information that is already a part of the electronic case file. Key: 61160   XRef: PIQ33.2

7. The system shall allow the authorized user to update the beneficiary's electronic case file with information such as criminal records history in addition to information that is already a part of the electronic case file. Key: 61161   XRef: PIQ33.3

8. The system shall allow the authorized user to document whether or not the investigations intake/complaint is legitimate. Key: 61162   XRef: PIQ33.4

9. The system shall allow an investigations intake/complaint to be automatically referred for supervisory review upon a determination that it is legitimate. Key: 61163   XRef: PIQ33.5

10. The system shall allow a priority to be established for each investigation. Key: 61164   XRef: PIQ33.6

11. The system shall allow for an investigation to have a recommendation without a completed investigation. Key: 61165   XRef: PIQ33.7

12. The system shall allow an investigations intake/complaint to be automatically referred for assignment to the authorized investigator based upon priority, availability and caseload. Key: 61166   XRef: PIQ33.8

13. The system shall support full and partial investigations. Key: 61167   XRef: PIQ33.9

14. The system shall provide unlimited narrative capability for the recording of investigations Key: 61168   XRef: PIQ34

15. The system shall support the identification and recording of contacts related to investigations. Key: 61169   XRef: PIQ35

16. The system shall support documentation of the findings of an investigation. Key: 61170   XRef: PIQ36

17. The system shall allow the user to document whether or not a waiver of rights was signed or refused to be signed during an investigation, who signed it and the date it was signed. Key: 61171   XRef: PIQ36.1

18. The system shall allow the user to document whether or not a statement was provided during the course of an investigation by whom and when. Key: 61172   XRef: PIQ36.2

19. The system shall allow the user to document whether or not an affidavit was provided during the course of an investigation by whom and when. Key: 61173   XRef: PIQ36.3

20. The system shall allow program integrity to record the result of the investigation as founded or unfounded. Key: 61174   XRef: PIQ37

21. The system shall allow recommendation as a result of a founded investigation to be documented such as suspend, prosecute, recoup, lock-in., etc. Key: 61175   XRef: PIQ37.1

22. The system shall automatically refer the recommendation associated with the investigation to the Utilization Review Committee (URC). Key: 61176   XRef: PIQ37.2

23. The system shall document and track the recommendations of the URC. Key: 61177   XRef: PIQ37.3

24. The system shall support automated referrals to those prosecuting entities such as district attorney, attorney general offices, etc. as required as a result of an investigation Key: 61178   XRef: PIQ38

25. The system shall track legal proceedings associated with referrals for prosecution. Key: 61179   XRef: PIQ39

26. The system shall allow evidence obtained during an investigation to be associated with the electronic case file such as pictures, videos, legal documents, etc. Key: 61180   XRef: PIQ39.1

6.5 Recipient Desk Reviews

1. The system shall automatically route cases to the designated individual for approval upon the completion of a review. Key: 61119   XRef: PIQ19

2. The system shall support the electronic review of case review results. Key: 61120   XRef: PIQ20

3. The system shall support the notation of case notes in relation to the review of the case review results. Key: 61121   XRef: PIQ21

4. The system shall monitor and report the actions taken by the worker following a review through resolution. Key: 61122   XRef: PIQ22

5. The system shall provide the capability to communicate the findings, both online and in print, from a Program Integrity worker's review. Key: 61123   XRef: PIQ23

6. The system shall allow the Program Integrity worker to put a case in suspend status as a result of a Program Integrity Review. Key: 61124   XRef: PIQ24

7. The system shall automatically remove a suspended status upon verification of a recipient's pregnancy. Key: 61125   XRef: PIQ24.1

8. The system shall automatically notify the recipient the removal of a suspension and the terms of the removal. Key: 61126   XRef: PIQ24.2

9. The system shall automatically reinstate a suspension 60 days postpartum or 60 days from a miscarriage. Key: 61127   XRef: PIQ24.3

6.6 Locked-in

1. The system shall support a desk review process for prevention of fraud and abuse. Key: 61128   XRef: PIQ44

2. The system shall provide a system alert to the authorized worker when a desk review is initially required based on claims data. Key: 61129   XRef: PIQ45

3. The system shall allow the worker to document the type of review being conducted such as monitoring, referral, rankings, follow-up, annual, etc. Key: 61130   XRef: PIQ46

4. The system shall allow the authorized user to document the findings of the review. Key: 61131   XRef: PIQ47

5. The system shall allow the authorize worker to document recommendations such as restricted, closed, monitored, continued, removed, remain off restriction, etc. Key: 61132   XRef: PIQ48

6. The system shall allow an automatic referral to Utilization Review Committee (URC). Key: 61133   XRef: PIQ49

7. The system shall allow the authorized user to document the recommendations of the URC. Key: 61134   XRef: PIQ50

8. The system shall support notifications to clients informing them of the recommendation made and their rights to a hearing. Key: 61135   XRef: PIQ51

9. The system shall allow the authorized user to document contacts with a beneficiary or their representative regarding the findings of a desk review and/or URC recommendations. Key: 61136   XRef: PIQ52

6.7 Reports

1. The system shall have the capability to view, track and monitor lock-in cases. Key: 61137   XRef: PIQ24.4

2. The beneficiary's electronic case record shall be pre-populated with data from the SUR system for viewing, tracking and monitoring lock-in cases. Key: 61138   XRef: PIQ24.5

3. The system shall allow the Program Integrity worker to flag a beneficiary who is a candidate for lock-in. Key: 61139   XRef: PIQ25

4. The system shall support the notification requirements to beneficiaries who are candidates for lock-in. Key: 61140   XRef: PIQ26

5. The system shall allow the Program Integrity worker to flag a beneficiary who has been locked-in. Key: 61141   XRef: PIQ26.1

6. The system shall support the monitoring of a beneficiary who is locked-in. Key: 61142   XRef: PIQ27

7. The system shall allow the Program Integrity worker to document calls received from beneficiaries regarding changes in providers. Key: 61143   XRef: PIQ27.1

8. The system shall automatically generate letters to beneficiaries and providers regarding changes in providers. Key: 61144   XRef: PIQ27.2

9. The system shall provide standardized templates for letters to providers and allow program integrity workers to complete address information when such information is not available. Key: 61145   XRef: PIQ27.3

10. The system shall identify beneficiaries that have been issued two Medicaid card in 12 months and the reason for the re-issuance. Key: 61146   XRef: PIQ27.4

11. The system shall obtain information on re-issuance from either MMIS or the agency FEITH system. Key: 61147   XRef: PIQ27.5

12. The system shall issue a system alert to the authorized worker when a beneficiary has been noted to have received additional Medicaid cards based on agency rules. Key: 61148   XRef: PIQ27.6

13. The system shall automatically issue a warning notice to the beneficiary when additional Medicaid cards are issued based on agency rules. Key: 61149   XRef: PIQ27.7

14. The system shall track the number of warnings a beneficiary has received for multiple Medicaid cards being issued such as action taken, date taken, etc. Key: 61150   XRef: PIQ27.8

15. The system shall support electronic referrals to the authorized worker in program integrity for lock-in review for beneficiaries identified for whom multiple Medicaid cards being issued. Key: 61151   XRef: PIQ27.9

6.8 Investigations

1. The system shall provide standard management reports for the Program Integrity Division. Key: 61152   XRef: PIQ28

2. The system will identify error prone profile characteristics as a result of trends identified through reviews conducted by the Program Integrity Division. Key: 61153   XRef: PIQ29

3. The system will report on program effectiveness and review measures. Key: 61154   XRef: PIQ30

6.9 Interfaces

1. The system shall receive and display claims information by month on recipients determined ineligible based on Program Integrity reviews. Key: 61181   XRef: PIQ40

2. The system shall upon calculating the amounts of claims owed by an ineligible recipient transmit to PERM as required. Key: 61182   XRef: PIQ41

3. The system shall upon calculating the amounts of claims owed by an ineligible recipient transmit to CROCS as required. Key: 61183   XRef: PIQ42

4. The system shall provide an update to MMIS on the status of locked –in for an individual. Key: 61184   XRef: PIQ31

5. The system shall provide an interface with the State Revenue Department for a state tax intercept for recoupment of claims based on agency criteria. Key: 61185   XRef: PIQ43

7.0 Reports

7.1 General

1. The system shall provide reports for Beneficiary Services that can be run and analyzed routinely. Key: 59745   XRef: CRM72

2. The system shall track all data needed to generate all required reports. Key: 59749   XRef: REP01

3. The system shall produce all state and federal reports, including the functional equivalents of all currently produced reports listed in the Procurement Library. Key: 59740   XRef: REP02

4. The system shall generate standardized management reports as defined by the Agency. Key: 59748   XRef: REP03

5. The system shall generate statistical reports as defined by the Agency. Key: 59750   XRef: REP04

6. The system shall generate standardized eligibility reports such as applications processed, denied, approved; benefits; characteristics of applicants; canned reports. Key: 59739   XRef: REP05

7. The system shall allow authorized workers to view individual worker's daily, monthly, quarterly, etc. activity reports. Key: 59743   XRef: REP06

8. The system shall provide the ability for reports to be exported to an electronic files, PDF, Excel, Text, or Word format depending on the type of report Key: 59741   XRef: REP08

9. The system shall provide the ability for reports to be transmitted to the State's mainframe in an electronic format. Key: 59744   XRef: REP08.1

10. The system shall ensure that the reports are print-ready and visually acceptable to the worker. Key: 59746   XRef: REP09

11. The system shall, at a minimum, make available any report on paper, COLD, CD-ROM/DVD, online, electronic file and other PC-compatible media, as requested by the Agency. Key: 59738   XRef: REP10

12. The system shall store all reports in such a manner as to allow online access to and retrieval of report information via a user-friendly parameter and/or menu-driven access to reports. Key: 59737   XRef: REP11

13. The system shall have the capability to generate ad hoc reports drawn from different fields and data sets without affecting worker response times. Key: 59742   XRef: REP12

14. The system shall generate standardized reports without affecting worker response times. Key: 59747   XRef: REP13

7.2 Worker

1. The system shall produce a daily priority report to the worker of items requiring immediate action such as new applications/ redeterminations received or additional documentation entered on a case. Key: 59754   XRef: ENR92

2. The system shall provide the capability for workers to indicate that tasks requiring action have been completed and continue to show items not completed on the priority report for the following day. Key: 59753   XRef: ENR93

3. The system shall provide a dashboard summary view of the status of cases in need of worker action as for example, active, critical, error, quality assurance corrective action, QC reviews, second and third level reviews, pending, etc. Key: 59751   XRef: REP14

4. The system shall organize the Inbox/Dashboard to enhance workflow by prioritizing and displaying alerts according to type and importance from most critical to least critical as defined by the Agency. Key: 59752   XRef: REP15

5. The system shall organize the Inbox/Dashboard to enhance workflow by organizing similar tasks together as defined by the Agency. Key: 59755   XRef: REP16

6. The system shall provide a link on the dashboard to the task needing attention. Key: 59756   XRef: REP17

7.3 Supervisor

1. The system shall provide a dashboard summary view of the status of cases of workers assigned to a supervisor as for example, active, critical, error, quality assurance corrective action, QC reviews, pending, etc. Key: 59757   XRef: REP18

2. The system shall provide a dashboard summary view of the status of cases across units for managers as for example, active, critical, error, quality assurance corrective action, QC reviews, pending reviews, etc. Key: 59758   XRef: REP19

3. The system shall provide an electronic dashboard report to track results of QC reviews by supervisors and other second and third level reviewers. Key: 59759   XRef: REP20

4. The system shall restrict access to viewing performance measures to authorized workers. Key: 59760   XRef: REP21

8.0 Interfaces

8.1 General

1. The system shall utilize MITA interface standards and data content specifications incorporating full HIPAA data schemas and functionality across multiple programs such as EFT interfaces and interchanges between agencies and other entities that are sources of TPL information. Key: 59775   XRef: ING1.2

2. The system shall generate a system alert to all appropriate workers when confirmation is received there is no match from an interface. Key: 59770   XRef: ING1.1

3. The system shall support a means to identify full and partial matches based on Agency defined criteria Key: 59776   XRef: ING2

4. The system shall allow the worker to select the correct information from the display of discrepant information before updating the system. Key: 59769   XRef: ING4

5. The system shall automatically update, without further worker intervention, an individual's electronic case file when correct information is selected by the worker from the discrepant information existing from an interface. Key: 59761   XRef: ING5

6. The system shall not update the ECR with discrepant information that is not valid but will store for historical purposes. Key: 59772   XRef: ING5.1

7. The system shall note whether or not the information was used. Key: 59781   XRef: ING5.2

8. The system shall close the system alert regarding interfaces when the worker takes action. Key: 59778   XRef: ING6

9. The system shall provide a system alert to the worker when eligibility information has been updated that does not require worker intervention based on Agency rules. Key: 59766   XRef: ING7

10. The system shall capacity to automatically update an individual's electronic case file with information received from an interface based on system rules. Key: 59767   XRef: ING8

11. The system shall automatically terminate the system alert after a defined period of time. Key: 59779   XRef: ING9

12. The system shall maintain a history of the interface source from which data was received, date and/or verified. Key: 59774   XRef: ING10

13. The system shall provide the capability for all interfaces to be real-time. Key: 59780   XRef: ING11

14. The system shall provide the capability for worker accessible hyper-links throughout the eligibility process for access to on-line inquiries such as Kelley Blue Book, Savings Bound calculator, court records, etc. Key: 59763   XRef: ING12

15. The system shall interface with a United States Postal Service (USPS) certified vendor for address matching software. Key: 59773   XRef: ING13

16. The system shall electronically transmit updates for Medicaid eligibility to and from the TANF system from the various Department of Human Resources (TANF, SNAP, Child Care) to initiate the eligibility process for applicants under the Express Lane Eligibility process provisions of the recent Child Health Insurance Program Reauthorization Act (CHIPRA) Key: 59764   XRef: ING14

17. The system shall automatically generate requests for information based on information entered by the worker or received from an interface such as letters to employers regarding verification of employment, wages, etc. Key: 59762   XRef: ING15

18. The system support the pass-through of inquires and transactions from external systems to the interChange system and other federated systems. Key: 59768   XRef: ING15.1

19. The system shall verify income sources from external interfaces such as SDX, TANF, Food Stamps, New Hire, DIR, and TALX prior to a Medicaid termination or review when income is not documented. Key: 59765   XRef: ING16

20. The system shall support seamless interface among different internal and external programs. Key: 59777   XRef: ING17

21. The system shall provide an expanded set of data matches to help identify possible sources of TPL for cost avoidance purposes, including matches such as: (a) ALLKids match to obtain duplicate coverage (b) BENDEX, SVES, and SDX matches to obtain available employer and insurance information (c) Retirement Databases matches to obtain additional insurance (d) SAVE match to conduct alien verification (e) IEVS, EVVS and vital statistics matches (f) Match with major insurance carriers serving State to identify possible third party coverage (g) Match with employment databases containing employer provided information to identify possible insurance coverage through employer (h) Match with credit bureau sources to identify possible employer information (i) Match with New Hire Data file to identify possible employer

information (j) Match with DIR, Unemployment, Public Safety, State revenue and tax data to identify possible employer information Key: 59771   XRef: ING18

8.2 State Agency Interfaces

8.2.1 Department of Human Resources (DHR) - Title IV-A (TANF)

1. The system shall automatically initiate an interface to the Title IV-A TANF system according to agency business needs. Key: 60511   XRef: INS1

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the Title IV-A TANF system. Key: 60508   XRef: INS2

3. The system shall provide for the exchange of information or changes to information to and from the TANF system for on-going determination for Title XIX (Medicaid) eligibility. Key: 60509   XRef: INS3

4. The system shall receive termination information from the TANF system on individuals who were Title XIX eligible. Key: 60512   XRef: INS5

5. The system shall automatically trigger the eligibility process upon notification of information that impacts eligibility. Key: 60510   XRef: INS6

6. The system shall allow authorized workers to view cases and case members on the TANF system. Key: 60513   XRef: INS7

8.2.2 DHR - Food Stamps (SNAP)

1. The system shall automatically initiate an interface to the Food Stamps SNAP system upon receipt of an application. Key: 60531   XRef: INS20

2. The system shall electronically receive eligibility data such as personal and household demographics, status of application, income, assets, resources and health insurance from the Food Stamps SNAP system. Key: 60528   XRef: INS21

3. The system shall provide for the exchange of information or changes to information to and from the Food Stamps SNAP system for on-going determination and prior to renewals for Title XIX (Medicaid) eligibility. Key: 60527   XRef: INS22

4. The system shall receive notice of termination from the Food Stamps SNAP system on individuals who were Title XIX eligible. Key: 60530   XRef: INS23

5. The system shall automatically trigger an eligibility action, notice or alert upon notification of information that impacts eligibility. Key: 60529   XRef: INS24

6. The system shall allow authorized workers to view cases and case members on the Food Stamps SNAP system. Key: 60532   XRef: INS25

8.2.3 DHR - Welfare Reform (FACETS)

1. The system shall automatically initiate an interface to the FACETS TANF system according to agency business needs. Key: 60536   XRef: INS25.1

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the FACETS system. Key: 60534   XRef: INS25.2

3. The system shall provide for the exchange of information or changes to information to and from the FACETS system for on-going determination for Title XIX (Medicaid) eligibility. Key: 60533   XRef: INS25.3

4. The system shall receive termination information from the FACETS system on individuals who were Title XIX eligible. Key: 60537   XRef: INS25.4

5. The system shall automatically trigger an eligibility action, notice or alert upon notification of information that impacts eligibility. Key: 60535   XRef: INS25.5

6. The system shall allow authorized workers to view cases and case members on the FACETS system. Key: 60538   XRef: INS25.6

8.2.4 DHR -Title IV-D Child Support (ALECS)

1. The system shall automatically initiate an interface on designated appropriate cases to the Title IV-D Child Support system upon receipt of an application on all household members and absent parent associated with the household. Key: 60514   XRef: INS8

2. The system shall request eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the Title IV-D Child Support system (ALECS). Key: 60517   XRef: INS9

3. The system shall electronically receive eligibility data such as personal and household demographics, income, assets, resources and health insurance from the Title IV-D Child Support system (ALECS). Key: 60515   XRef: INS10

4. The system shall provide for the exchange of information or changes to information to and from the child support system for on-going determination for Title XIX (Medicaid) eligibility. Key: 60518   XRef: INS11

5. The system shall automatically update recipient child support cooperation or non-cooperation. Key: 60525   XRef: INS12

6. The system shall automatically create a unique ID number for absent parents received and associate that ID with the unique DHR AP ID. Key: 60521   XRef: INS13

7. The system shall allow the creating of multiple associations of absent parents with their child or children. Key: 60523   XRef: INS14

8. The system shall electronically receive absent parent data such as information on employment, health insurance, demographics, and medical support orders from the Title IV-D Child Support System. Key: 60516   XRef: INS16

9. The system shall provide a system alert to the authorized worker when new or updated insurance (TPL) information is received. Key: 60522   XRef: INS17

10. The system shall automatically trigger an eligibility action, notice or alert upon notification of information that impacts eligibility. Key: 60520   XRef: INS18

11. The system shall receive and process periodic updates such as address changes, child support income, insurance information, cooperation, etc. from the ALECS child support system. Key: 60519   XRef: INS19

12. The system shall process medical support referrals to DHR and accept notifications of receipt of referral. Key: 60524   XRef: INS19.1

13. The system shall notify the IV-D Child Support System of terminations for related cases. Key: 60526   XRef: INS19.2

8.2.5 DHR - PARS (Public Assistance Recipient Subsystem)

1. The system shall automatically initiate an interface to the PARS system according to agency business needs. Key: 60541   XRef: INS25.7

2. The system shall electronically receive state supplication eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the PARS system. Key: 60539   XRef: INS25.8

3. The system shall provide for the exchange of information or changes to information to and from the PARS system for on-going determinations and renewals. Key: 60540   XRef: INS25.9

8.2.6 DHR - Child Welfare SACWIS (FACES)

1. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the SACWIS system to process Medicaid eligibility for children in foster care. Key: 60542   XRef: INS25.10

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the SACWIS system to process Medicaid eligibility for children receiving adoption assistance. Key: 60544   XRef: INS25.11

3. The system shall provide for the exchange of information or changes to information to and from the SACWIS system for on-going determination and prior to renewals for Title XIX (Medicaid) eligibility. Key: 60543   XRef: INS25.12

4. The system shall receive termination information from the SACWIS system on individuals who were Title XIX eligible. Key: 60546   XRef: INS25.13

5. The system shall automatically trigger an eligibility action, notice, or alert upon notification of information that impacts eligibility. Key: 60545   XRef: INS25.14

8.2.7 DHR - EV13

1. The system shall provide access to the EV13 database for on-going determination for Title XIX (Medicaid) eligibility. Key: 60547   XRef: INS25.15

8.2.8 Department of Public Health (DPH) - Children's Health Insurance Program (CHIP and All Kids)

1. The system shall automatically send and receive terminations, denials, and renewals to and from the Alabama Department of Public Health (ADPH) ALLKids information systems. Key: 60553   XRef: INS37

2. The system shall provide a nightly transmission of individuals who are denied or terminated that exceed the Medicaid income limit to the ADPH ALLKids. Key: 60556   XRef: INS38

3. The system shall provide ability to transmit on-line/real-time individuals who are denied or terminated that exceed the Medicaid income limit to the ADPH ALLKids. Key: 60554   XRef: INS38.1

4. The system shall allow the attachments and the electronic copy of the application from ADPH ALLKids to the application and placed in the individual's record. Key: 60555   XRef: INS39.1

5. The system shall provide the ability to send and receive web application data real-time to and from ADPH ALLKids. Key: 60558   XRef: INS39.2

6. The system shall provide the ability to send real-time or batch all necessary data for eligibility to ADPH ALLKids for the web application. Key: 60557   XRef: INS39.3

8.2.9 DPH - Vital Events

1. The system shall automatically initiate an interface to the Public Health systems upon receipt of an application. Key: 60562   XRef: INS40.1

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the Public Health systems. Key: 60560   XRef: INS40.2

3. The system shall provide for the exchange of information or changes to information to and from the Public Health systems for on-going determination for Title XIX (Medicaid) eligibility. Key: 60559   XRef: INS40.3

4. The system shall automatically trigger an eligibility action, notice, or alert upon notification of information that impacts eligibility. Key: 60561   XRef: INS40.4

5. The system shall allow authorized workers to view cases and case members on the Public Health system. Key: 60563   XRef: INS40.5

8.2.10 Department of Mental Health/Mental Retardation (DMHMR)

1. The system shall automatically initiate an interface to the Department of Mental Health for those individuals who apply for Behavioral Health services. Key: 60564   XRef: INS41

8.2.11 Department of Industrial Relations (DIR) - New Hire Database

1. The system shall automatically initiate an interface to the New Hire Database upon receipt of an application for household members over the age of 16 with a verified SSN. Key: 60566   XRef: INS42

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, and employer information from the New Hire Database. Key: 60567   XRef: INS43

3. The system shall provide for the exchange of information or changes to information to and from the New Hire Database for on-going determination for Title XIX (Medicaid) eligibility. Key: 60565   XRef: INS44

4. The system shall auto generate a letter to employers identified for information related to availability insurance coverage. Key: 60568   XRef: INS45

8.2.12 DIR - Wages

1. The system shall automatically initiate an interface to the DIR Wage data upon receipt of an application for household members over the age of 16 with a verified SSN. Key: 60570   XRef: INS46

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, and employer information from the DIR Wage database. Key: 60571   XRef: INS47

3. The system shall provide for the exchange of information or changes to information to and from the DIR Wage Database for on-going determination for Title XIX (Medicaid) eligibility. Key: 60569   XRef: INS48

4. The system shall provide the capability to receive dates associated with each income segment as identified by the interface with DIR. Key: 60572   XRef: INS48.1

8.2.13 DIR - Worker's Compensation

1. The system shall automatically initiate an interface to the DIR Wage data upon receipt of an application for household members over the age of 16 with a verified SSN. Key: 60574   XRef: INS48.2

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, and employer information from the DIR Wage database. Key: 60575   XRef: INS48.3

3. The system shall provide for the exchange of information or changes to information to and from the DIR Wage Database for on-going determination for Title XIX (Medicaid) eligibility. Key: 60573   XRef: INS48.4

4. The system shall provide the capability to receive dates associated with each income segment as identified by the interface with DIR. Key: 60577   XRef: INS48.5

6. The system shall provide the capability to receive dates associated with each benefit segment as identified by the interface with DIR. Key: 60576   XRef: INS48.6

8.2.14 DIR - Unemployment Compensation

1. The system shall automatically initiate an interface to the DIR Wage data upon receipt of an application for household members over the age of 16 with a verified SSN. Key: 60579   XRef: INS48.7

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, and employer information from the DIR Wage database. Key: 60580   XRef: INS48.8

3. The system shall provide for the exchange of information or changes to information to and from the DIR Wage Database for on-going determination for Title XIX (Medicaid) eligibility. Key: 60578   XRef: INS48.9

4. The system shall provide the capability to receive dates associated with each benefit segment as identified by the interface with DIR. Key: 60581   XRef: INS48.10

8.2.15 Department of Revenue (DOR)

1. The system shall automatically initiate an interface to the Revenue Department upon receipt of an application for household members over the age of 16 with a verified SSN. Key: 60583   XRef: INS49

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, and employer information from the Revenue Department. Key: 60584   XRef: INS50

3. The system shall provide for the exchange of information or changes to information to and from the Revenue Department for on-going determination for Title XIX (Medicaid) eligibility. Key: 60582   XRef: INS51

8.2.16 Administration of Courts (AOC)

1. The system shall automatically initiate an interface to the Administrative Office of Courts upon receipt of an application. Key: 60587   XRef: INS52

2. The system shall electronically receive eligibility data, such as personal and household demographics, criminal history, child support history and employer information from the Administrative Office of Courts. Key: 60585   XRef: INS53

3. The system shall provide for the exchange of information or changes to information to and from the AOC for on-going determination for Title XIX (Medicaid) eligibility. Key: 60586   XRef: INS53.1

8.2.17 Department of Corrections (DOC)

1. The system shall automatically initiate an interface to the Department of Corrections upon receipt of an application. Key: 60590   XRef: INS54

2. The system shall electronically receive eligibility data, such as personal and household demographics, criminal history, and employer information from the Department of Corrections. Key: 60588   XRef: INS55

3. The system shall provide for the exchange of information or changes to information to and from the DOC for on-going determination for Title XIX (Medicaid) eligibility. Key: 60589   XRef: INS55.1

8.2.18 Retirement Systems of Alabama (RSA)

1. The system shall automatically initiate an interface to the Retirement Systems of Alabama upon receipt of an application for household members over the age of 16 with a verified SSN. Key: 60592   XRef: INS56

2. The system shall electronically receive eligibility data, such as personal and household demographics, retirement income, and health insurance information from the Retirement Systems of Alabama Key: 60591   XRef: INS57

3. The system shall electronically send to RSA an annual file of individuals that receive Medicaid and are also receiving state retirement. Key: 60593   XRef: INS57.1

8.2.19 Department of Public Safety (DPS)

1. The system shall automatically initiate an interface to the Department of Public Safety upon receipt of an application. Key: 60595   XRef: INS58

2. The system shall electronically receive eligibility data, such as personal and household demographics, criminal history, accident information and employer information from the Department of Public Safety. Key: 60594   XRef: INS59

8.2.20 MyAlabama.gov

1. The system shall automatically initiate an interface to Myalabama.gov upon receipt of an application. Key: 60550   XRef: INS62

2. The system shall electronically receive eligibility data, such as personal and household demographics, criminal history, health insurance and employer information from the Myalabama.gov. Key: 60548   XRef: INS63

3. The system shall provide for the exchange of information or changes to information to and from myalabama.gov for on-going determination for Title XIX (Medicaid) eligibility. Key: 60549   XRef: INS63.1

4. The system shall provide the ability to interface with the Department of Senior Services. Key: 60552   XRef: INS63.2

5. The system shall provide the ability to interface with the Department of Rehabilitation Services. Key: 60551   XRef: INS63.3

8.3 Federal Agency Interfaces

8.3.1 Social Security Administration (SSA) - General

1. The system shall be designed to support the SSA interface via real-time inquiries and batch access including but, not limited to, SOLQ, SVES, LIS, BENDEX, BEER, and SSA 8019. Key: 60596   XRef: INF1.1

2. The system shall provide an electronic link with the SDX and SVES files to obtain data on SSDI (Social Security Death Index) eligible information that may not be available on the EDB file to identify persons who have SSDI eligibility and are eligible for Medicare Part A, including such information as the following: (a) Identification of persons who have an SSDI disability status (b) Match against SSDI work quarter data to make sure the SSDI recipient meet the SSDI work quarter requirements to claim for services under Medicare (c) Match against Medicaid files to make sure individual concerned has claimed Medicaid for required period before claiming can be initiated under Medicare Key: 60597   XRef: INF1.2

3. The system shall send SDX, SVES & Bendex files to the TPL vendor. Key: 60598   XRef: INF1.3

8.3.2 Social Security Administration (SSA) - State Online Query (SQLQ) and State Verification Exchange System (SVES)

1. The system shall automatically initiate an interface to SSA upon receipt of an application. Key: 60603   XRef: INF1

2. The system shall request eligibility data verification such as Medicare entitlement codes and dates for entitlement received from the SSA interface. Key: 60601   XRef: INF2

3. The system shall request eligibility data such as citizenship and immigration status received from the SSA interface. Key: 60602   XRef: INF3

4. The system shall request eligibility data such as SSDI work quarter data for those individuals with a SSDI disability as received from the SSA interface. Key: 60600   XRef: INF4

5. The system shall request eligibility data verification such as DOB, DOD, SSNs used, benefits received, benefit type, monthly payment, and buy-in information with information received from the SSA interface. Key: 60599   XRef: INF6

8.3.3 SSA 8019

1. The system shall receive eligibility data such as available employer and insurance information received from the SSA 8019 interface.

Key: 60604   XRef: INF5

8.3.4 SSA - Low Income Subsidy (LIS)

1. The system shall identify those individuals who may be eligible for Medicaid services when notified by SSA via the LIS interface. Key: 60605   XRef: INF5.1

8.3.5 SSA - Beneficiary Earnings Data Exchange (BENDEX)

1. The system shall automatically initiate a real-time interface to SSA to retrieve BENDEX information upon receipt of an application. Key: 60608   XRef: INF7

2. The system shall identify from the BENDEX information retrieved via the SSA interface those individuals receiving social security benefits and the amount received. Key: 60606   XRef: INF8

3. The system shall identify from the BENDEX information retrieved via the SSA interface those individuals with Medicare Part A & B entitlement. Key: 60607   XRef: INF9

4. The system shall identify from the BENDEX information retrieved via the SSA interface if an individual is receiving Medicare. Key: 60609   XRef: INF10

5. The system shall provide for the exchange of BENDEX information or changes to BENDEX information to and from the SSA interface such as eligibility, benefit amount, payment status, dates for entitlement, SMI status code, HI status code, Medicare start/stop dates, onset of disability, date of death and Individual's claim/Medicare number for on-going determination for Title XIX (Medicaid) eligibility. Key: 60610   XRef: INF11

6. The system shall identify from the BENDEX interface those individuals with dual Medicaid and Medicare eligibility. Key: 60611   XRef: INF12

7. The system shall provide the capability to process BENDEX COLA (BRI) files received from SSA. Key: 60612   XRef: INF17

8.3.6 SSA - State Data Exchange (SDX)

1. The system shall identify and provide available information from the SDX interface those individuals with a SSDI disability and SSI. Key: 60614   XRef: INF19

2. The system shall provide for the initial receipt and changes to information from SDX for on-going determination for Medicaid eligibility. Key: 60613   XRef: INF20

3. The system shall update SSI eligibility and payment data for an individual received from the SDX interface. Key: 60615   XRef: INF21

4. The system shall allow for on-line inquiry of SSI eligibility data for the authorized workers. Key: 60616   XRef: INF22

8.3.7 DEERS

1. The system shall automatically initiate an interface to DEERS upon receipt of an application. Key: 60627   XRef: INF27

2. The system shall provide for the exchange of information or changes to information to and from DEERS for on-going determination for Title XIX (Medicaid) eligibility. Key: 60625   XRef: INF28

3. The system shall provide for the exchange of information or changes to information to and from DEERS for on-going determination of availability of other health coverage. Key: 60624   XRef: INF29

4. The system shall update an individual's electronic case file with the information received from the DEERS interface. Key: 60626   XRef: INF30

8.3.8 Pickle

1. The system shall support the PICKLE interface which is received yearly from SSA. Key: 60628   XRef: INF31

8.3.9 503 Lead File

1. The system shall support the 503 LEAD File interface which is received yearly from SSA. Key: 60629   XRef: INF32

8.3.10 Centers for Medicare and Medicaid Services (CMS) - General

1. The system shall provide information to the Centers of Medicare and Medicaid Services (CMS) such as MMA Part D (Medicare Modernization Act) claw back data, MSIS data, and fiscal data. Key: 60630   XRef: INF44

2. The system shall electronically receive the MMA Part D data from CMS and display the data for informational purposes. Key: 60631   XRef: INF45

8.3.11 Centers for Medicard and Medicaid Services (CMS) - Payment Error Rate Measurement (PERM)

1. The system shall automatically initiate an interface to PERM determined by CMS schedules in compliance with the Improper Payments Information Act of 2002 (IPIA; Public Law 107-300). Key: 60632   XRef: INF30.1

8.3.12 (CMS) - Medicaid Statistical Information System (MSIS)

1. The system shall automatically initiate a quarterly MSIS interface to provide CMS with eligibility data. Key: 60633   XRef: INF30.2

8.3.13 (CMS) - Medicare Enrollment Database (EDB)

1. The system shall initiate an EDB interface upon an application being received. Key: 60623   XRef: INF23

2. The system shall initiate an EDB interface bi-monthly for individuals that are active and over the age of 21 or lost eligibility within the current month. Key: 60620   XRef: INF23.1

3. The system shall allow for yearly updates with EDB for all Medicaid individuals who have been eligible within the last year. Key: 60622   XRef: INF23.2

4. The system shall update an individual's electronic case file with information about dual Medicaid and Medicare eligibility based on the information received from the EDB interface. Key: 60619   XRef: INF24

5. The system shall update an individual's electronic case file with Medicare entitlement codes and dates for entitlement received from the EDB interface. Key: 60621   XRef: INF26

5. The system shall update an individual's electronic case file as to whether or not services are being billed to Medicaid or Medicare for a SSDI recipient.

Key: 60618   XRef: INF25

8.3.14 Administration for Children and Families (ACF) - Public Assistance Reporting Information System (PARIS)

1. The system shall automatically initiate an interface to PARIS determined by federal schedules. Key: 60637   XRef: INF31

2. The system shall provide for the exchange of information or changes to information to and from PARIS for on-going determination for Title XIX (Medicaid) eligibility. Key: 60635   XRef: INF32

3. The system shall provide for the exchange of information or changes to information to and from PARIS for on-going determination of availability of other health coverage. Key: 60634   XRef: INF33

4. The system shall update an individual's electronic case file with the information received from PARIS interface. Key: 60636   XRef: INF34

8.3.15 Department of Homeland Security - Systematic Alien Verification for Entitlement (SAVE)

1. The system shall automatically initiate an interface to SAVE Per specified guidelines. Key: 60641   XRef: INF35

2. The system shall provide for the exchange of information or changes to information to and from SAVE for on-going determination for Title XIX (Medicaid) eligibility. Key: 60639   XRef: INF36

3. The system shall update an individual's electronic case file with the information received from SAVE interface such as alien number, US entry data, immigrant status, classification, and documentation. Key: 60638   XRef: INF37

4. The system shall provide the capability for the worker to have on-line access and administrative rights to the SAVE website. Key: 60640   XRef: INF38

8.3.16 Internal Revenue Service

1. The system shall automatically initiate an interface to IRS upon receipt of an application and other specified schedules and federal guidelines. Key: 60645   XRef: INF39

2. The system shall provide for the exchange of information or changes to information to and from IRS for on-going determination for Title XIX (Medicaid) eligibility. Key: 60643   XRef: INF40

3. The system shall update an individual's electronic case file with the information received from IRS interface such as income, employer and other asset information. Key: 60644   XRef: INF41

4. The system shall provide the worker the ability to perform an online/real-time search on the IRS database for Federal Employee Identification Number (FEIN) if allowed by IRS. Key: 60642   XRef: INF42

5. The system shall automate matches with the IRS Disclosure of Information to Federal, State, and Local Agencies (DIFSLA) such that appropriate worker is provided the information automatically without the use of printed paper per Agency specifications. Key: 60646   XRef: INF43

8.3.17 USDA

1. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the National School Lunch Program (NSLP). Key: 60617   XRef: INF49

8.4 Private Entity Interfaces

8.4.1 EBT Vendor

1. The system shall interface with contracted Electronic Benefits Transfer (EBT) contractor for transfer of payment funds to recipients (private vehicle travel) and transporters Key: 60647   XRef: INP1

2. The system shall maintain a record viewable by the worker of the details associated with the payment made through EBT. Key: 60649   XRef: INP2

3. The system shall have the capability to receive incoming transmissions from the EBT contractor regarding payments made. Key: 60648   XRef: INP3

8.4.2 Financial Institutions (Credit Unions and Banks)

1. The system shall electronically interface with available public and commercial sources of information including credit bureau information, available banking information, and external employment and income sources such as TALX, ADP and others in order to comply with Medicare Improvement Patient and Providers ACT (MIPPA) Key: 60650   XRef: INP4

2. The system shall electronically receive eligibility data, such as personal and household demographics, financial verification information, stock values, bond values, sources of income, sources of property, assets and employer information from financial institutions with whom interfaces have been established. Key: 60656   XRef: INP4.1

3. The system shall have the capability re received from the financial institution interfaces account information to include balances for the past 60 months. Key: 60654   XRef: INP4.2

4. The system shall automatically initiate an interface to available public and commercial sources of financial information upon receipt of an application. Key: 60655   XRef: INP5

5. The system shall update an individual's electronic case file with financial information received from the public and commercial sources of financial information. Key: 60652   XRef: INP6

6. The system shall electronically interface with available public and commercial sources of information including credit bureau information, available banking information, and external employment and income sources such as TALX, ADP and others at the request of the worker or at regular intervals as defined by the agency. Key: 60651   XRef: INP7

7. The system shall automatically generate notices to recipients as a result of receiving information regarding other sources of income and property information. Key: 60653   XRef: INP17

8.4.3 TALX

1. The system shall automatically interface with TALX for the purpose of verifying employment upon receipt of an application. Key: 60659   XRef: INP8

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from TALX. Key: 60657   XRef: INP9

3. The system shall provide the capability to receive dates associated with each employment segment as identified by the interface with TALX. Key: 60658   XRef: INP9.1

8.4.4 ADP

1. The system shall provide capability to electronically interface with ADP for the purpose of verifying employment. Key: 60662   XRef: INP10

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from ADP. Key: 60660   XRef: INP11

3. The system shall provide the capability to receive dates associated with each employment segment as identified by the interface with ADP. Key: 60661   XRef: INP11.1

8.4.5 Insurance Companies

1. The system shall provide capability to electronically interface with major insurance payers for the purpose of identifying individuals and families than may have other sources of insurance such as health, life, burial, long term care and accident. Key: 60666   XRef: INP12

2. The system shall have the capability to interface with the Health Insurance Exchange System to be developed for Health Care Reform. Key: 60665   XRef: INP12.1

3. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from interfaces with major health insurance payers. Key: 60663   XRef: INP13

4. The system shall automatically generate notices to recipients as a result of receiving information regarding other sources of health insurance. Key: 60664   XRef: INP14

8.4.6 National Association for Public Health Statistics and Information Systems (NAPHSIS)-Electronic Verification of Vital Events (EVVE)

1. The system shall provide capability to electronically interface with EVVE for the purpose of receiving electronic certification of birth. Key: 60669   XRef: INP18

2. The system shall provide capability to receive an electronic response from the EVVE that verifies or denies the birth match with official state or jurisdiction records Key: 60668   XRef: INP19

3. The system shall provide capability to receive an electronic response from the EVVE that provides a death of death that is verified with official state or jurisdiction records Key: 60667   XRef: INP20

4. The system shall track the number of transactions to EVVE for verification against future billing. Key: 60670   XRef: INP21

8.4.7 Utility Organizations

1. The system shall perform regular auto matches with organizations such as Lifeline Link-up, PSC and individual phone companies and other utilities. Key: 60671   XRef: INP22

8.4.8 Medicaid Contractors

1. The system shall utilize application software to extract and securely FTP or deliver the required data from the Recipient Subsystem to a specified Medicaid contractor in accordance with Medicaid specification in order for the Medicaid contractor to pre-populate electronically generated renewals and notices. Key: 60672   XRef: INP23

8.5 Intra-Agency Interfaces

8.5.1 Statewide Health Information Exchange (HIE)

1. The system shall automatically initiate an interface to Statewide HIE upon receipt of an application for the purpose of obtaining medical determinations.

Key: 60674   XRef: INM1

2. The system shall electronically receive medical determinations, such as pregnancy, disability, etc. from the Statewide HIE. Key: 60675   XRef: INM2

3. The system shall provide for the exchange of information or changes to information to and from Statewide HIE for on-going determination for Title XIX (Medicaid) eligibility. Key: 60673   XRef: INM3

4. The system shall automatically trigger the eligibility process upon notification of information that impacts eligibility. Key: 60676   XRef: INM4

8.5.2 interChange (AKA MMIS)

1. The system shall provide an interface with interChange to receive Medicare Advantage Plan or other Managed Care Plans that a person has selected or been assigned to. Key: 60681   XRef: INM5

2. The system shall be designed with a Medicare entitlement screen and populated with Part A and B coverage dates received from the interChange via Fiscal Agent Medicare editing file which will be used as a one-stop source for Medicare eligibility dates for awarding and determining continued eligibility for the Medicare Savings Programs, Medicare Buy-In, and determining months of dual eligibility for Medicare Part D. Key: 60677   XRef: INM6

3. The system shall provide an interface with the interChange via online/real-time inquiry to access information from applications such as CROCS, TPL (Third Party Liability), Recipient data, PA (Prior Authorization), Managed Care LTC (Long-Term Care), and Lock-in without a separate log-in. Key: 60678   XRef: INM7

4. The system shall receive and display the Managed Care, Lock-in, LTC, EPSDT and TPL data from the interChange interface. Key: 60683   XRef: INM8

5. The system shall receive data needed from claims data on the interChange interface as currently being processed such as newborn birth information, sterilization, etc. Key: 60680   XRef: INM9

6. The system shall send to interChange data to support Medical Services such as Managed Care plans, PCCM exemptions, and Maternity Waiver exemptions. Key: 60682   XRef: INM11

7. The system shall receive and process a monthly reconciliation file from interChange. Key: 60685   XRef: INM 14

8. The system shall send data needed for the DSS to interChange per Agency defined schedule. Key: 60684   XRef: INM15

9. The system shall send all data such as demographical, eligibility, retroactive eligibility, patient liabilities, etc. needed to populate the interChange recipient subsystem per Agency defined schedule. Key: 60679   XRef: INM16

10. The system shall continue to send EDB file to interChange per Agency schedule. Key: 60686   XRef: INM17

11. The system shall continue to send NET file to interChange. Key: 60688   XRef: INM18

12. The system shall continue to send MMA Part D file to interChange. Key: 60687   XRef: INM19

8.6 Local Public Entity Interfaces

8.6.1 Tax Assessor

1. The system shall automatically initiate an interface to tax assessors systems upon receipt of an application. Key: 60692   XRef: INL1

2. The system shall electronically receive eligibility data, such as personal and household demographics, income, assets, resources and health insurance from the tax assessors systems. Key: 60690   XRef: INL2

3. The system shall provide for the exchange of information or changes to information to and from the tax assessors systems for on-going determination for Title XIX (Medicaid) eligibility. Key: 60689   XRef: INL3

4. The system shall automatically trigger the eligibility process upon notification of information that impacts eligibility. Key: 60691   XRef: INL4

8.7 Interstate Interfaces

1. The system shall provide the ability to verify the applicant's eligibility status in other States' MMIS systems for on-going determination for Title XIX (Medicaid) eligibility. Key: 59782   XRef: INX1

9.0 Technical

9.1 System Architecture

9.1.1 General Architecture

1. The system shall be a web-based system that can support the major functions performed by the Beneficiary Services function and other related support functions including Third Party Liability (TPL), Program Integrity, Quality Control, Managed Care, and Non-Emergency Transportation Services (NETS). Key: 60705   XRef: TRA001

2. The system shall be designed as a web-based solution capable of supporting multiple interface devices. Information in the Recipient Subsystem-RS shall be updated online and in real-time using a graphical user interface (GUI). Information updates made through the GUI shall make the value of every modified data element current and immediately available for inquiry. Key: 60714   XRef: TRA002

3. The system shall maximize the use of the Internet/Intranet as an operational tool to perform functions such as Beneficiary Services and other related support functions and use the Internet to enhance receipt and distribution of information to State staff and the recipient community. Key: 60718   XRef: TRA003

3. The system shall provide a Central Data Validation Function that workers can use to verify and validate case information across different internal systems and programs and available public data sources. Key: 60694   XRef: TRA004

4. The system shall be an Integrated system that can support all of the major eligibility functions performed by the Agency such as: (a) Outreach and screening: intake, application and referral (b) Verification and validation of key required information (c) Eligibility review and determination (d) Case maintenance and redetermination Key: 60693   XRef: TRA005

5. The system shall utilize a robust rules engine capability that will make it possible to use a single web-based application to support different program functions. Key: 60699   XRef: TRA006

6. The system shall provide a single electronic case file and case review function that can be tailored to the specific rules and requirements of different programs. Key: 60700   XRef: TRA007

7. The system shall utilize a robust electronic content management function to support the electronic imaging, management, and control of key documents and reports. Key: 60701   XRef: TRA008

8. The system shall provide a robust reporting and analysis capability, including a data mining capability and a dashboard reporting capability. Key: 60706   XRef: TRA009

8. The system shall utilize a Service Oriented Architecture (SOA) technology to make it possible to share, utilize, and build upon information and systems that already exist. Key: 60697   XRef: TRA010

9. The system shall be designed as a components-based modular architecture maximized to use Commercial off-the-shelf (COTS) software that does not require any client-side software to be installed on the Agency workstation or laptop such as rules engine, document management and workflow software, letter generation tool, and security software. Key: 60695   XRef: TRA011

10. The system shall utilize a MITA-compliant enterprise service bus capability that provides failover and redundant capability and service capability to allow information to be shared across systems and information sources, and to build applications that can be reused, and expanded upon for other similar functions. Key: 60711   XRef: TRA012

11. The system shall implement a technical design that can be readily expanded and modified on an ongoing iterative basis. Key: 60712   XRef: TRA013

12. The system shall use a state-of-the-art platform technology to allow the system to interface effectively with other related systems and information sources. Key: 60703   XRef: TRA014

13. The system shall be at a minimum 3-tier architecture that includes presentation tier, business logic tier and persistence tier. Key: 60710   XRef: TRA015

14. The system shall support flexibility by separating a software application into tiers or layers that are architecturally independent of other layers. Key: 60704   XRef: TRA016

15. The system shall support scalability that allows additional application hardware to be used to address increases in system loads without modifying program code. Key: 60702   XRef: TRA017

16. The system shall use object oriented development principals. Key: 60716   XRef: TRA018

17. The system shall be designed to be accessed by Agency workers on existing workstations over the existing State WAN and leveraging the existing State infrastructure by employing techniques such that the Recipient Subsystem-RS runs as efficiently and reliably across the State WAN as it does on the external Internet. Key: 60698   XRef: TRA019

18. The system shall provide a batch window that does not interfere with normal business hours (without affecting the online real-time system). Key: 60707   XRef: TRA020

19. The system shall support a hardware based load balancing scheme such as content switches capable of maintaining session affinity. Key: 60709   XRef: TRA021

20. The system shall include administration tools for manageability and maintainability for modifying configuration files. Key: 60713   XRef: TRA022

21. The system shall provide a screen refresh function. Key: 60717   XRef: TRA024

22. The system shall provide an indicator when the system is processing. Key: 60715   XRef: TRA025

23. The system shall be deployed to ensure that each layer of the application architecture is designed to provide redundant high availability. Key: 60708   XRef: TRA026

24. The system shall validate inputs from web applications being certain to filter input for scripting language commands or HTML tags that might be maliciously inserted into input fields. Key: 60696   XRef: TRA027

25. The system shall utilize the MITA-standard approach to orchestrating and composing services. Key: 61187   XRef: TRA012.1

9.1.2 Architecture Standards

1. The system shall conform to the Rehabilitation Act Electronic and Information Technology Accessibility Standards (Section 508) and Americans With disabilities Act (ADA). Key: 60725   XRef: TRA028

2. The system shall have a user interface that conforms to W3C recommendations and standards which shall be validated through the W3C Markup Validation Service (http://validator.w3.org/). Key: 60722   XRef: TRA029

3. The system shall make use of HTML templates and/or Cascading Style Sheets (CSS) or Extensible Style Sheet Language Transformations (XSLT), JScript, AJAX (Asynchronous

JavaScript and XML), etc. to facilitate a common look and feel that can be easily modified. Key: 60721   XRef: TRA030

4. The system shall be compatible with the State Server Platform Technology Standards. Key: 60729   XRef: TRA031

5. The system shall be compatible with the State ISD Portal Standards. Key: 60730   XRef: TRA031.1

6. The system shall incorporate the core elements for a common, consistent presentation layer defined by the State Look and Feel Standard for Web Applications. Key: 60726   XRef: TRA032

7. The system shall conform to the State defined Enterprise Software Standards including, at a minimum, placing comments on source code, naming standards for physical objects, and naming standards for column names. Key: 60720   XRef: TRA033

8. The system shall use national MITA standards and uniform data and processes among participating entities to improve efficiency and further reduce delays in obtaining eligibility. Key: 60723   XRef: TRA034

9. The system shall be designed to support a provide participating agencies to all cross-agency eligibility information such as Medicaid programs and benefits for which applicants are eligible. Key: 60719   XRef: TRA035

10. The system shall support the Web Services Description Language (WSDL) to provide web services over the internet. Key: 60728   XRef: TRA035.1

11. The system shall support the Web Services for Remote Portlets (WSRP) network protocol standards designed for communications with remote portlets. Key: 60727   XRef: TRA035.2

12. The system shall be based on MITA Health Information Seven (HL7) Version 3 Reference Information Model (RIM) and associated Refined Message Information Models (R-MIMs) data standards for at least 90% of the verification and validation of enrollment data with the exception of some categories of eligibility. Key: 60724   XRef: TRA036

9.2 Infrastructure

9.2.1 Performance and Scalability

1. The system shall be capable of supporting up to 10,000 workers with 5,000 concurrent workers logged on and performing normal daily business activities with the ability to increase

supported workers without modification to the software or degradation in performance. Key: 60745   XRef: TRI001

2. The system shall define, implement, collect, and report using a set of business process-related performance metrics that conform to MITA defined performance metrics such as tracking changes in programs and policies and evaluating corresponding changes in health outcomes. Key: 61188   XRef: TRI001.1

3. The system shall generate alerts and alarms when the value of a metric falls outside limits. Key: 61189   XRef: TRI001.2

4. The system shall be available 99.0% of the time on a 24-hour, 7-days per week basis, with the exception of approved maintenance outage time periods. Key: 60741   XRef: TRI002

5. The system shall provide the capability for transaction response time to be consistent for all workers directly interacting with the production environment, based on a common web portal access for network access point, processed and returned to the network access point. Key: 60747   XRef: TRI003

6. The system shall have a mean response time of 1 second for adding, updating, or deleting data and 99% of all responses shall occur within 1.5 seconds. Key: 60740   XRef: TRI004

7. The system shall have a mean response time of 2 seconds for retrieval of a record from on-line history and 99% of all responses shall occur within 2.5 seconds. Key: 60737   XRef: TRI005

8. The system shall have a mean response time of 5 seconds for providing a beneficiary's eligibility or archived history information from secondary storage and 99% of all responses shall occur within 5.5 seconds. Key: 60735   XRef: TRI006

9. The system shall have a mean response time of 2 seconds for print initiations and 99% of all responses shall occur within 2.5 seconds. Key: 60744   XRef: TRI007

10. The system shall have a mean response time of 3 seconds for cumulative transactions and 99% of all responses shall occur within 3.5 seconds. Key: 60743   XRef: TRI008

11. The system shall have a mean response time of 2 seconds for retrieval of a record from on-line history and 99% of all responses shall occur within 2.5 seconds. Key: 60738   XRef: TRI009

12. The system shall have a mean retrieval time of less than 5 seconds for document images of 2MB or less in size over the State's ISDN 256Kb line. Key: 60742   XRef: TRI010

13. The system shall be able to display within 1 second each subsequent page of the same document. Key: 60748   XRef: TRI011

14. The system shall be able to retrieve any images stored (archived to offsite tertiary storage) more than 84 months according to State's retention policy within 2 Agency work days of the request. Key: 60736   XRef: TRI012

15. The system shall be able to retrieve any images that are stored on tertiary media devices within 1 Agency work day. Key: 60746   XRef: TRI013

16. The system shall integrate with the State supported Microsoft Outlook Exchange mail system. Key: 60739   XRef: TRI014

9.2.2 Hardware

1. The Vendor shall specify the minimum hardware configuration required to meet or exceed the performance specifications described in the RFP. Key: 60753   XRef: TRI015

2. The system shall be configured with software that is compatible with the State hardware standards. Key: 60754   XRef: TRI016

3. The Vendor shall specify the hardware that is compatible with the State's Information Services Division (ISD) environment to be able to transmit and accept data in multiple media including direct data transmission. Key: 60749   XRef: TRI018

4. The system shall use online, real-time updates from Agency approved external devices such as ID scanners, PIN pads, signature capture devices, etc. Key: 60751   XRef: TRI019

5. The system shall be configured with communication line(s), gateway server(s), network-attached storage unit(s), router(s), scanner(s), and associated peripherals that are approved by the State. Key: 60750   XRef: TRI020

6. The system shall support dual monitors. Key: 60756   XRef: TRI021

7. The system shall be configured with scanning equipment software that are compatible with the web based system and the State's existing networking infrastructure. Key: 60752   XRef: TRI022

8. The system shall require no or minimal changes to individual workstations. Key: 60755   XRef: TRI023

9.2.3 Software

1. The system shall utilize MITA-standard service interfaces for service-enabling legacy systems. Key: 61190   XRef: TRI024.1

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Draft System Requirements

Alabama Medicaid Agency
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Information Services Division
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2. The system shall be granted to the State of Alabama with ownership rights to developed software, software modifications, and associated documentation that are designed, developed, installed or enhanced for the Alabama Medicaid Agency using Federal and/or State of Alabama financial funding. Key: 60769   XRef: TRI025

3. The system shall comply with the State of Alabama policy on Software Licensing according to the publication entitled, "Policy 630-06_Rev A: Software Licensing and Use". Key: 60768   XRef: TRI026

4. The system shall support the State ISD's current IP-based infrastructure for wide area and local area networking using Multiprotocol Label Switching (MPLS) technology and Cisco networking solutions. Key: 60760   XRef: TRI027

5. The system shall require the server platforms to be configured with the Microsoft Windows server 2008 operating system of higher.Key: 60775   XRef: TRI028

6. The system shall support the current supported or higher version of Microsoft BizTalk as the middleware solution for integration among disparate applications. Key: 60771   XRef: TRI029

7. The system shall support the current supported or higher version of Microsoft SharePoint 2010, KnowledgeLake Imaging, KnowledgeLake Capture, and KnowledgeLake Workflow combined to form a total Enterprise Content Management (ECM) solution. Key: 60757   XRef: TRI030

8. The system shall support the current supported or higher version of Microsoft Office Professional 2007 and Plus 2010 for enterprise productivity platform. Key: 60772   XRef: TRI031

9. The system shall support the current supported or higher version of InRule rules engine with components to author, store & manage, integrate, and execute rules. Key: 60770   XRef: TRI032

10. The system shall support the current supported or higher version of Crystal Reports software to design and generate reports. Key: 60773   XRef: TRI032.1

11. The system shall integrate with the current supported or higher version of Microsoft Exchange messaging. Key: 60776   XRef: TRI034

12. The system shall support the current supported or higher version of QAS Pro Web online address validation tool to provide postal address validation during the web application process. Key: 60762   XRef: TRI035

13. The system shall provide the capability to verify beneficiary addresses with the US Postal Service (USPS) National Change of Address (NCOA) file at the point of actual award or renewal of the case to ensure that mailings go to the correct address. Key: 60774   XRef: TRI036

14. The system shall ensure that all software applications that support the operation of the Recipient Subsystem must be compatible with the hardware and operating environment installed at the Agency/State. Key: 60758   XRef: TRI037

15. The system shall ensure that all software applications that support the operation of the Recipient Subsystem must be compatible with the Agency/State local area network. Key: 60767   XRef: TRI038

16. The system shall ensure that all software applications that support the operation of the Recipient Subsystem must be capable of supporting interfaces with other Agency systems. Key: 60764   XRef: TRI039

16. The system shall ensure that all software applications that support the operation of the Recipient Subsystem must enable workflow, document imaging and management, and e-forms. Key: 60765   XRef: TRI041

16. The system shall be developed/modified using an application programming language(s) that is currently widely used in the Medicaid Information Systems, technically appropriate for the application, and compatible with programming languages and CMS MMIS certification requirements. Key: 60777   XRef: TRI042

17. The system shall support a web statistics (tracking) software to determine such things including but, not limited to: (a) IP address and the link they came from to reach the site (b) The link they go to from the Recipient Subsystem site (c) At what point in the application people tend to stop/get stuck (d) Need to know if they saved or just exited out or timed out (e) How long a person's session was and what page they stopped on (f) How long they are on a specific page (g) If they logged in or not (h) If it is the home view or agency view (i) If they started with an existing application or keyed from scratch or from an agency pre-population process, if submitted, was it a change or full application Key: 60778   XRef: TRI043

18. The system shall be designed to balance all external system inputs, transactions processed, and outputs for all system-maintained data maintenance activity and transactions. Key: 60766   XRef: TRI044

19. The system shall be designed to simplify the process of changing data structure such that data elements, fields, or values can be easily added or updated or the data field lengths expanded as required. Key: 60759   XRef: TRI045

20. The system shall be designed to follow maximize software reuse, component architecture to minimize repetitive code, and best practice surrounding scope, global and private variables. Key: 60763   XRef: TRI046

21. The system shall be designed to simplify the process of updating reference/resource files including but, not limited to data dictionary, look-up tables, and State aid category cross walks. Key: 60761   XRef: TRI047

9.2.4 Database

1. The system shall support the current supported and higher version of MS SQL Server 2005 as the data repository. Key: 60786   XRef: TRI048

2. The system shall follow database tables, columns, and object naming convention that allows for a partially self-documenting data or data object model. Key: 60782   XRef: TRI049

3. The system shall have a core data model that is normalized, making proper use of foreign keys. Key: 60787   XRef: TRI050

4. The system shall only allow access to the database from the application through standard Java Database Connectivity (JDBC), ActiveX Data Objects (ADO) or Open Database Connectivity (ODBC) drivers. Key: 60781   XRef: TRI051

5. The system shall provide only one logical database for the online portion of the system and, physically, the online database should be supported with a cluster or parallel servers acting against one database. Key: 60780   XRef: TRI052

6. The system's stored procedures shall contain self-identifying information imbedded in the code for debugging and performance tuning purposes. Key: 60783   XRef: TRI053

7. The system shall provide the ability for the database administrators to manage or control resource usage at the procedure level. Key: 60785   XRef: TRI054

8. The system shall have centralized administrative and monitoring capabilities. Key: 60788   XRef: TRI055

9. The system shall maintain entity, referential and domain integrity. Key: 60789   XRef: TRI056

10. The system shall support an integrated operational database using relational technology supporting a single view for all operational data. Key: 60784   XRef: TRI057

11. The system shall comply with the following State of Alabama Medicaid guidelines and standards such as Database coding Guidelines, Database Naming Standards, Development and

Maintenance of Database (IS-NSPP-0005), Handling Special Request (IS-NSPP-0004), Handling Database Objects (IS-NSPP-0005), and Development and Maintenance of Web Application (IS-NSPP-0010). Key: 60790   XRef: TRI058

12. The system shall contain a Logical Database Design (LDD) that is based on IEEE 12207-2008 System and Software Engineering-Software Life Cycle Processes such as a fully described data dictionary, Entity Relationship Diagram(s) (ERD), and transaction entry point analysis to support the business data requirements. Key: 60779   XRef: TRI059

9.2.5 Production Control

1. The system shall be securely accessible to authorized workers via remote access (i.e. any access to the State network through a non-State controlled network, device, or medium) in accordance to State standards through a variety of communications channels and protocols such as: (a) Virtual Private Network (b) Lease lines (if appropriate and required) (c) Dial-up telephone inquiry via toll free lines (d) Wireless networks, i.e. Wi-Fi (e) Wireless clients, i.e. Personal Digital Assistants (PDAs), text messaging devices, smart phones-PDA products, and wireless-capable laptop PCs (f) Bluetooth (g) Kiosks (h) Internet access Key: 60791   XRef: TRI060

2. The system shall allow the batch processing cycle to be monitored through automated scheduling tools. Key: 60799   XRef: TRI061

3. The system shall provide an automated production schedule report accessible online by authorized workers. Key: 60798   XRef: TRI062

4. The system shall include appropriate checkpoint/restart capabilities, and other features necessary to ensure reliability and recovery, including telecommunications reliability, file backups, and disaster recovery. Key: 60792   XRef: TRI063

5. The system shall support procedures that can restart the batch processing from a given checkpoint without running the entire batch process from the beginning. Key: 60796   XRef: TRI064

6. The system shall include tools for performance tuning. Key: 60802   XRef: TRI065

7. The system shall be compatible with existing State office automation systems. Key: 60800   XRef: TRI066

8. The system shall support Interactive Voice Response (IVR) interaction. Key: 60801   XRef: TRI067

9. The system shall support the use of separate applications and web servers for hosting web pages that are externally facing to the internet to provide a secure layer separating intranet

only/internal web pages and web pages that are exposed through the DMZ (Demilitarized Zone), using mechanisms such as URL (Uniform Resource Locator) redirection. Key: 60793   XRef: TRI068

10. The system shall have adequate safeguards and features that are required to ensure that the service delivery function can continue in cases of equipment failures, system unavailability, a failure or disaster. Key: 60794   XRef: TRI070

10. The system shall phase in the data conversion over a one year period but must be completed prior to system Go Live date. Key: 60797   XRef: TRI069

11. The system shall have the capability to comply with or respond to the disaster recovery plan in accordance to the "45 CFR 95.621(f)" federal guideline, the State of Alabama policy entitled, "Policy 700-00: Disaster Recovery", and the Alabama Medicaid Memorandum No. 108, dated February 1, 2010, Subject: "Disaster/Recovery for Medicaid". Key: 60795   XRef: TRI071

9.3 Security

9.3.1 Security Standards and Guidelines

1. The system shall provide support for user authentication via SecureID tokens and delivery of results to authentication and authorization functions. Key: 61191   XRef: TRS001.1

2. The system shall support user authentication using public key infrastructure in conformance with MITA-identified standards. Key: 61192   XRef: TRS001.2

3. The system shall be implemented with Web Single Sign-On (SSO) to provide a framework for seamless application access through unified authentication services. Key: 61193   XRef: TRS001.3

4. The system shall be implemented with Extended Single Sign-On (SSO) to add a security integration tier that allows other application tiers to use the authenticated identity. Key: 61194   XRef: TRS001.4

5. The system shall comply with industry standards on system wide privacy and security safeguards such as: (a) Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I) (b) IRS Pub 1075 (c) Federal Records Retention Schedule 44 U.S.C. 3303a (d) Privacy Act of 1974 at 5 U.S.C. 552a (e) Computer Matching and Privacy Protection Act of 1988 (CMPPA) (f) Federal Information Security Management (FISMA) (g) SSA Information System Security Guidelines for Federal, State, and Local Agencies (h) Alabama Internal Memorandum 910 (i) Child Online Privacy Protection Act (j) HIPAA (k) Title XIX Confidentiality Rules Key: 60820   XRef: TRS001

6. The system shall comply with the State of Alabama standards on external connections based on the following publications entitled, "Standard 640-01S1: Interconnecting IT Systems" and "Standard 640-01S2: Secure Web Application Development". Key: 60803   XRef: TRS002

7. The system shall comply with the State of Alabama standards on authentication based on the following publications entitled, "Standard 620-03S1_Rev A: Authentication - Passwords" and "Standard 620-03S2_Rev A: Authentication - Biometrics". Key: 60804   XRef: TRS003

8. The system shall comply with the State of Alabama standards on remote access based on the following publications entitled, "Standard 640-02S1_Rev A: Remote Access Controls", "Standard 640-02S2: Virtual Private Networks", and "Standard 640-02S3_Rev A: Dial-In Access/Modem Use". Key: 60810   XRef: TRS004

9. The system shall comply with the State of Alabama standards on wireless security based on the following publications entitled, "Standard 640-03S1: Wireless Networks", "Standard 640-03S2_Rev B: Wireless Clients", and "Standard 640-03S3: Bluetooth Security". Key: 60814   XRef: TRS005

10. The system shall comply with the State of Alabama standards on physical security based on the following publications entitled, "Standard 650-01S1: Physical Security" and "Standard 650-01S2: Physical Access Control". Key: 60809   XRef: TRS006

11. The system shall comply with the State of Alabama guidelines and standards on application security based on the following publications entitled, "Standard 660-01S1: Application Security - Mobile Code", "Guideline 660-01G1: Application Security - SQL Injection", "Guideline 660-01G2: Input Validation and Data Security", "Guideline 660-01G3: Database Security", and "Guideline 660-01G4: Error Handling". Key: 60807   XRef: TRS007

12. The system shall comply with the State of Alabama guidelines and standards on system security based on the following publications entitled, "Standard 660-02S1: Laptop Security", "Standard 660-02S2: PDA Security", "Baseline 660-02B1_Rev A: Server Security", "Baseline 660-02B2: Client Security", "Guideline 660-02G2: Firewall Security", "Guideline 660-02G5: Security Engineering Principles", and "Guideline 660-02G6: Domain Name System (DNS) Security". Key: 60811   XRef: TRS008

13. The system shall comply with the State of Alabama standards on virus protection based on the following publication entitled, "Standard 670-04S1_Rev A: Virus Protection". Key: 60815   XRef: TRS009

14. The system shall comply with the State of Alabama standards on intrusion detection and prevention systems based on the following publication entitled, "Standard 670-05S1_Rev A: Intrusion Detection and Prevention Systems". Key: 60806   XRef: TRS010

15. The system shall comply with to the State of Alabama standards on log management based on the following publication entitled, "Standard 670-06S1: Log Management". Key: 60817   XRef: TRS011

16. The system shall comply with the State of Alabama standards on backup and recovery based on the following publication entitled, "Standard 670-07S1: Backup and Recovery". Key: 60816   XRef: TRS012

17. The system shall comply with the State of Alabama standards on secure system maintenance based on the following publication entitled, "Standard 670-08S1: Secure System Maintenance". Key: 60812   XRef: TRS013

18. The system shall comply with the NIST guideline for PHI (Protected Health Information) systems that are connected by remote devices based on the National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices. Key: 60813   XRef: TRS014

19. The system shall comply with the State of Alabama standards on information protection based on the following publications entitled, "Standard 680-01S1: Information Protection", "Standard 680-01S2: Protecting PII", "Standard 680-01S3: Removable Storage Devices", and "Standard 680-01S4: Media Sanitization". Key: 60808   XRef: TRS015

20. The system shall comply with the State of Alabama standards on encryption based on the following publication entitled, "Standard 680-03S1_Rev B: Encryption" for example encryption products used shall be listed on the National Institute of Standards and Technology (NIST) Cryptographic Module Validation List (http://csrc.nist.gov/groups/STM/cmvp/validation.html) and be validated to the current Federal Information Processing Standard (FIPS). Key: 60818   XRef: TRS016

21. The system shall comply with the State of Alabama Policy 660-03: Application Security Testing and must successfully pass an independent third party audit. Key: 60819   XRef: TRS017

22. The system shall comply with the State of Alabama standards on web development based on the following publications entitled, "Standard 1210-00S1_Rev A: Online Privacy and Data Collection", "Standard 1210-00S2: Universal Accessibility", "Standard 1210-00S3: Online Security Statement", and "Standard 1210-00S4: Hypertext Linking". Key: 60805   XRef: TRS018

9.3.2 Web Application

1. The system shall allow a unique user ID, password, and answers to 3 security questions to be created when an application is filled out but prior to submitting the application. Key: 60830   XRef: TRS019

2. The system shall prompt the Applicant to create a user ID and password before saving or submitting an application. Key: 60841   XRef: TRS020

3. The system shall prevent Applicants from navigating to the pre-eligibility determination screens without first creating a user ID and password. Key: 60837   XRef: TRS020.1

4. The system shall generate a Personal Identification Number (PIN) when an application is submitted, and associate the PIN to the case number, Application Tracking Number (ATN), record ID (RID), user ID and password. Key: 60824   XRef: TRS021

5. The system shall mail the system-generated PIN to the mailing address specified on the application form. Key: 60842   XRef: TRS022

6. The system shall link the user ID to the PIN and associate the user ID to the name, last 4-digits of the SSN, and date of birth of the Applicant on the application. Key: 60834   XRef: TRS023

7. The system shall deactivate the PIN after 3 unsuccessful attempts to match the last 4-digits of SSN, and DOB against the Applicant on the case number for the PIN entered. Key: 60832   XRef: TRS026

8. The system shall support PIN reactivation and resending of PIN to an authenticated email address of record if the Applicant can match the 3 security questions. Key: 60835   XRef: TRS027

9. The system shall display a message to inform the Applicant attempting to create a user ID to use the "Forgot User ID" feature if it is determined that the PIN already has a user ID associated with it. Key: 60827   XRef: TRS028

10. The system shall display to the Applicant a list of similar user IDs as suggestions if a user ID that is chosen already exists in the system. Key: 60838   XRef: TRS029

11. The system shall verify the minimum requirement for creating a user ID is 8 characters and a maximum length of whatever field size is defined on the table with no spaces allowed. Key: 60829   XRef: TRS030

12. The system shall verify the strength of password by utilizing a COTS product such as the Microsoft strong password plug-in which can be found in the following URL: https://www.microsoft.com/protect/fraud/passwords/checker.aspx?WT.mc_id=Site_Link. Key: 60846   XRef: TRS031

13. The system shall include helpful guides on the sign-on page such as a link for tips on creating a user ID and password, choosing from a set of dropdown security questions, option for signing

in using user ID and password, option for "Forgot User ID", and option for "Forgot Password".
Key: 60822   XRef: TRS032

14. The system shall display a message to inform the Applicant attempting to sign-in with an invalid combination of user ID and password that they can use the "Forgot User ID" or "Forgot Password" features. Key: 60826   XRef: TRS033

15. The system shall disable the user ID after 5 unsuccessful sign-in attempts in a row with the same user ID in combination with an invalid password and provide the web helpdesk phone number to call for assistance. Key: 60825   XRef: TRS034

16. The system shall allow the web helpdesk to enable a person's disabled user ID by using the Extranet to verify the applicable security questions and its respective answers. Key: 60831   XRef: TRS035

17. The system shall allow the Applicant to create a new password in the event of a forgotten password by prompting for the last 4-digits of the Applicant's SSN, DOB, and one of the security questions. Key: 60828   XRef: TRS036

18. The system shall allow the web helpdesk to change a user ID via the Extranet when contacted by the Applicant but only after supplying the correct answer to the security questions and other pertinent personal information. Key: 60823   XRef: TRS037

19. The system shall allow the applications that are not accessed and not submitted to be saved for a minimum of 30 days. Key: 60844   XRef: TRS038

20. The system shall provide configurable "garbage collection" utilities to clean up and delete draft and un-submitted applications. Key: 61196   XRef: TRS038.1

21. The system shall limit the user ID to only pull up the saved application associated with it, if there is one, or the most current application for the case, which will include all changes that have been applied to the application since it was originally submitted. Key: 60836   XRef: TRS039

22. The system shall disable an existing user ID and destroy the PIN, if there is one, associated with it after it has been determined that a new user ID has been created and linked to a case number that is already linked to the existing user ID. Key: 60840   XRef: TRS040

23. The system shall determine that if an Applicant pulls up their existing application and makes some changes or maybe don't make any changes, and save, the system will assume it is a change and save under the same ATN. When the application is submitted, the system will need to determine if a new ATN needs to be assigned at that time. Key: 60821   XRef: TRS041

24. The system shall disable but never delete a user ID that has not been used for a minimum of 18 months. Key: 60843   XRef: TRS042

25. The system shall provide the web helpdesk the capability to enable a user ID after it has been disabled by using the Extranet to check the security questions and answers. Key: 60833   XRef: TRS042.1

26. The system shall allow the Agency to retrieve any current or saved application. Key: 60845   XRef: TRS043

27. The system shall support authenticated Applicant requests for new PIN issuances in cases of a lost PIN and the Extranet shall be used to destroy the Applicant's existing PIN, create a new PIN, request a PIN letter, and associate the new PIN to the same case, ATN, and RID that the destroyed PIN was related to. Key: 60839   XRef: TRS044

9.3.3 Access Control

1. The system shall develop security and functionality to allow e-signature, in compliance with the FIPS PUB 186-3 Digital Signature Standard June 2009, on all web applications, reviews, and changes. Key: 60849   XRef: TRS045

2. The system shall allow community application assisters to have access to system for certain functions such as to check to make sure Applicant does not already have an application on file. Key: 60850   XRef: TRS046

3. The system shall be capable of serving as a worker web portal providing functionality such as allowing an authorized supervisor, Agency privacy/security officers or system administrator to set permission levels and other security features. Key: 60847   XRef: TRS047

4. The system shall establish a limit of unsuccessful access attempts after which an Agency worker will be locked out. Key: 60855   XRef: TRS048

5. The system shall automatically log an Agency worker off after an Agency-defined, configurable amount of inactivity. Key: 60856   XRef: TRS049

6. The system shall provide screen level security for all data and define and maintain the level of authorization/security for specific functions by individual worker including module level security for grouping of screens/pages. Key: 60848   XRef: TRS050

7. The system shall provide field level security permissions including the capability to modify and set user field level security rules based on user roles. Key: 60852   XRef: TRS051

8. The system shall support field level encryption for all PHI and PII data elements. Key: 60863   XRef: TRS052

9. The system shall support central policy managed and role driven data masking for all PHI and PII data elements. Key: 60858   XRef: TRS053

10. The system shall support roles for grouping of privileges/modules. Key: 60866   XRef: TRS054

11. The system shall allow workers to have multiple roles that determine access to system objects and fields. Key: 60860   XRef: TRS055

12. The system shall provide workers access to imaged documents using the same security profiles within Recipient Subsystem. Key: 60854   XRef: TRS056

13. The system shall allow for future, current and past begin and end dates for staff data (e.g. dates of employment, user roles, unit assignment, locations, address, etc.).

Key: 60857   XRef: TRS057

14. The system shall provide a history of security profile assignments for a worker. Key: 60864   XRef: TRS058

15. The system shall not allow duplicate user IDs. Key: 60867   XRef: TRS059

16. The system shall support a configurable logon banner for the purpose of displaying acceptable use policies. Key: 60859   XRef: TRS060

17. The system shall prevent concurrent logins for the same user ID (e.g. if the worker attempts to logon to another workstation, the system will force a log off from the other terminal). Key: 60851   XRef: TRS061

18. The system shall allow for global level security administrator access. Key: 60865   XRef: TRS062

19. The system shall support the State-wide Active Directory services for authentication. Key: 60853   XRef: TRS063

20. The system shall disconnect any worker for whom an Agency-defined session time-out has been reached. Key: 60861   XRef: TRS065

20. The system shall provide the capability to share key data and images across programs and agencies. Key: 60862   XRef: TRS068
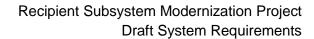
9.3.4 Host Security

1. The system shall allow for the categorization of access into different security levels that will be defined by the Agency such as workers, groups, roles, and office location. Key: 60869   XRef: TRS069

2. The system shall provide for robust online security checks, including security by individual, State defined role, location, files, and fields before allowing access to any files including data, software, resources, code or any other files resident with or accessed by the Agency. Key: 60875   XRef: TRS070

3. The system shall provide ability to view, retrieve, update and print case file information based on user level permissions e.g. worker, supervisor, manager, Long Term Care, or Legal purposes. Key: 60868   XRef: TRS071

4. The system shall restrict the ability to access, modify or override system edits and audits, or alter system functionality, to staff authorized to implement such changes. Key: 60870   XRef: TRS072

5. The system shall ensure that all authenticated interfaces are secure and support a minimum of 128bit encryption. Key: 60871   XRef: TRS073

6. The system shall utilize a proven data encryption method which follows State standards. Key: 60874   XRef: TRS075

7. The system shall use the State ISD's current networking infrastructure for access to all applications. Key: 60872   XRef: TRS077

8. The system shall support user authentication using public key infrastructure in conformance with MITA-identified standards. Key: 61195   XRef: TRS075.1

28. The system web services shall comply with the OASIS Web Services Security Specification 1.1. Key: 60873   XRef: TRS074

9.3.5 Logg-in and Audit

32. The system shall have the capability to log the hosts, host components (e.g. operating system (OS), service, application), and events. Key: 60882   XRef: TRS078

33. The system shall have the capability to determine which events require logging on a continuous basis and which events require logging in response to specific situations such as: (a) Start up and shut down of audit functions (b) Successful and unsuccessful logons and logoffs (c) Successful and unsuccessful attempts to access security relevant files and utilities, including user

authentication information (d) Log information on read, modify, or destroy operations (e) Configuration changes made during auditing operations (f) Unsuccessful usage of user identification or authentication mechanisms (g) Changes to the time (h) Activities that modify, bypass, or negate system security controls (i) Use of privileged accounts (j) Administrator logons, changes to the administrator group, and account lockouts (k) Actions following log storage failure or exceeding threshold levels (l) Unsuccessful security attribute revocations (m) Modifications to user groups within a role (n) Key recovery requests and associated responses (o) Access denials resulting from excessive numbers of logon attempts (p) Blocking or blacklisting of user ID, terminal, or access port (q) Detected replay attacks (r) Rejections of new sessions based on limits to number of concurrent sessions (s) Use of compilers (t) System software installations Key: 60879   XRef: TRS079

34. The system shall determine what information the log content will capture such as the date and time of the event, component of the information system (e.g. software component, hardware component) where the event occurred, type of event, subject identity, outcome (success or failure) of the event, source IP, destination IP, protocol used, and action taken in order to establish what events occurred, the sources of the events, and the outcomes of the events. Key: 60884   XRef: TRS080

35. The system shall capture, based on Agency-defined frequency, the log data collection, log transmission, log retention, log storage capacity, log audit processing, log protection, log reduction and report generation, log activity review procedures, log monitoring, log analysis, log reporting, and what personnel will be authorized to access the system security logs. Key: 60877   XRef: TRS081

36. The system shall maintain audit trails of all changes to data, both online and batch 24/7, including data conversion on all Recipient Subsystem fields unless specifically identified by the Agency such as: (a) Date and time of change (b) "Before" and "after" status (c) "Before" and "after" data field contents as displayed on the screen or report (d) Operator identifier or source of the update (e) User ID Key: 60881   XRef: TRS082

37. The system shall create an audit trail of all interface processes that will include enough detail to support complete reconciliation with the level of detail to be determined by the State. Key: 60878   XRef: TRS083

38. The system shall provide authorized staff the ability to view online a history or log file that tracks last transactions on record, type of transaction, changed data, date of change, operator ID, and other relevant data up to 72 months following the last auditable action on a case. Key: 60883   XRef: TRS085

39. The system shall produce security maintenance reports for routine maintenance and support by program administrators per Agency-defined schedule such as an alpha listing by county of workers by role and transactions related to role changes. Key: 60876   XRef: TRS086

40. The system shall have controls and audits for detecting and reporting changes of the database, any connect operations, including intruder detection, attempts to access nonexistent objects, and any activities requiring DBA (Database Administrator) privileges. Key: 60880   XRef: TRS087

9.3.6 Information Labeling and Handling

1. The system shall be compliant with current HIPAA regulations including the Transaction and Code Sets provisions, as well as the provisions for Unique Identifiers that have been finalized to date (e.g., National Provider Identifier and Employer Identification Number). Key: 60888   XRef: TRS088

2. The system shall support and protect the privacy of personally identifiable health information in compliance with the Privacy final rule and must meet requirements for the secure storage and transmission of protected health care information as stipulated in the Security final rule. Key: 60886   XRef: TRS089

3. The system shall track disclosure of Protected Health Information (PHI) such as written documents, electronic files, and verbal information. Key: 60889   XRef: TRS090

4. The system shall keep pace and meet compliance requirements as HIPAA provisions are modified, amended or finalized in the future including transaction version updates, identifiers, security and privacy system requirements, and other applicable regulations and addenda. Key: 60892   XRef: TRS091

5. The system shall provide the capability to support all of the following HIPAA transactions and regulations: (a) 270 Health Care Eligibility Benefit Inquiry (Version 5010 Level II Compliance) (b) 271 Health Care Eligibility Benefit Response (Version 5010 Level II Compliance) (c) 278 Health Care Services Review and Response (d) National Provider Identifier (NPI) generation / Provider Taxonomy (e) National Employer Identifier. Key: 60885   XRef: TRS092

6. The system shall be compliant with Part 11 of the State Medicaid Manual and with all regulations required to achieve CMS certification. Key: 60890   XRef: TRS093

7. The system shall support the Health Information Seven (HL7) version 3 R-MIM standards for the exchange, integration, sharing, and retrieval of electronic health information. Key: 60887   XRef: TRS094

8. The system shall include data element definitions to indicate the security classification level of the data. Key: 60891   XRef: TRS095

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9.4 User Interface

9.4.1 Appearance

1. The system shall have consistent graphical user interface that conforms to the current GUI accepted practices including the use of common elements such as titles, message lines, status lines or navigation bars and buttons (in the case of web application and publishing screens), occupy the similar position on all screens in a system or site, and display information on each screen that uniquely identifies it such as the application name, screen title, and a unique identifying code which is traceable to the program(s) that handle the screen. Key: 60897   XRef: TRU001

2. The system shall include a user interface that allows the worker to enter in data on screens that are visually similar to the documents generated (aka WYSIWYG, What You See is What You Get). Key: 60894   XRef: TRU002

3. The system shall comply with the Information Technology Accessibility Standards by labeling or otherwise indicating mandatory fields, conditionally mandatory fields, or read-only fields. Key: 60895   XRef: TRU003

4. The system shall display the due date and time remaining for tasks that have deadlines. Key: 60898   XRef: TRU004

5. The system shall present standard icons that represent to the worker the action intended such as an arrow pointing left may be used in addition to the word "Previous" to allow the worker to display the previous page in a document or report by clicking on the arrow. Key: 60901   XRef: TRU005

6. The system shall identify what icons and fields represent by displaying a descriptive word(s) under the icon and by displaying a descriptive word(s) in accordance to the approved standards when the mouse is rolled over the icon. Key: 60893   XRef: TRU006

7. The system shall be able to support dynamic screen resolutions sizing. Key: 60900   XRef: TRU007

8. The system search capability shall have the same look and feel for all searches. Key: 60899   XRef: TRU008

9. The system shall allow for the use of drop-down, key-in and calendar functions with the month spelled out for all date fields. Key: 60896   XRef: TRU009

9.4.2 Worker Portal

1. The system shall provide the worker portal designed to be a streamlined version of the self service web application to include fields needed by the workers without all the questions and information provided on the self service web application for the public. Key: 60925   XRef: TRU010

2. The system shall allow the worker to access the worker portal from either the internet or intranet to perform functions such as Beneficiary Services and other related support functions and use the Internet to enhance receipt and distribution of information to State staff and the recipient community. Key: 60920   XRef: TRU011

3. The system shall link the Central Data Validation function to the worker portal. Key: 60921   XRef: TRU012

4. The system shall provide the capability for workers to initiate data searches through the Central Data Validation Function with security in place to prevent phishing. Key: 60907   XRef: TRU013

5. The system shall support automated delivery of critical messages and information about cases to the workers inbox and to-do-list. Key: 60917   XRef: TRU014

5. The system shall display the worker portal as the home page for all functions with features such as a navigation bar, menu bar, recent documents opened, inbox/dashboard, items/alerts, reminders, important announcements, daily task list, and quick search. Key: 60924   XRef: TRU015

6. The system shall organize the worker portal inbox/dashboard to enhance workflow in a manner to most efficiently assist workers with prioritizing their work. Key: 60908   XRef: TRU016

7. The system shall provide a menu type-ahead, look-ahead, key-in functionality for certain fields, drop down box, and calendar selections for all functions such as income type, living arrangement, county codes, etc. specific to Alabama. Key: 60902   XRef: TRU017

8. The system shall support system intelligence such as calculating age and auto-populating fields based on zip code including town, county, city, state, country, and APO/FPO designation. Key: 60906   XRef: TRU017.1

9. The system shall provide online access to manuals such as Policy Manuals, Technical Manuals, and SDX. Key: 60919   XRef: TRU018

10. The system shall allow manuals to be searchable such as by word search, subject matter search, content type search, and author search. Key: 60914   XRef: TRU019

11. The system shall provide access to training resources such as PowerPoint presentations, new worker and refresher courses, acronyms, etc., related to eligibility, TPL, fraud, HIPAA privacy and security, personnel and other areas. Key: 60903   XRef: TRU020

12. The system shall provide online access to tables such as code tables and value tables, and allow updating of tables by authorized workers. Key: 60912   XRef: TRU021

13. The system shall provide the capability for authorized workers to view interpretation requests/responses by keyword, date or entire list. Key: 60913   XRef: TRU022

14. The system shall support icons for shortcut to commonly used menus. Key: 60923   XRef: TRU023

15. The system shall provide the ability to jump, tab back and forward, home, end, top of page, bottom of page, find, group, update, rotate pages, toggle between screens, applications, or otherwise navigate the system. Key: 60904   XRef: TRU024

16. The system shall provide a "search this page/document" functionality. Key: 60922   XRef: TRU025

17. The system shall provide help lookup features and policy reminders on the areas most prone to error or requiring a high level of policy decision. Key: 60910   XRef: TRU026

18. The system shall provide the ability to compare data fields and highlight the differences between new electronic information with the case file's current information, and allow the worker the option to accept the new information by data field, section or document. Key: 60918   XRef: TRU027

19. The system shall provide the ability to either compare or view electronic data sources against the Recipient Subsystem and allow the worker to selectively update the Recipient Subsystem. Key: 60905   XRef: TRU27.1

20. The system shall provide authorized staff access to contact lists on the worker portal such as phone numbers, email addresses, and physical addresses. Key: 60909   XRef: TRU028

21. The system shall provide authorized staff access on the worker portal to publications such as Medicaid newsletters and Administrative memos. Key: 60911   XRef: TRU029

22. The system shall provide the ability to display a scrolling marquee to notify workers of late breaking news or release of new policy. Key: 60916   XRef: TRU030

23. The system shall provide authorized staff the ability to customize website links on the worker portal to support eligibility workers such as: (a) Links to insurance databases (b) Links to

community resources/reference materials (c) Links to Vehicle values such as Kelly Blue Book (d) Financial directories (e) Savings bond calculator (f) Tax and Court House records (g) Amortization schedule (h) Interstate Compact Agreement state contacts (i) Federal Employee Identification No. (FEIN) search (j) Link(s) to legal settlement databases (k) Low Income Subsidy and Part D benefits (l) State and Teacher employee and retiree insurance and benefit information (m) TPQY for beneficiary disability determination dates, drug plans, Part A, B and D premium payments, etc. (n) Banking information databases (o) Governmental files such as SOLQ, SVES, BENDEX, SDX, EDB, and SAVE (p) Citizenship and/or identity data from other verified sources e.g. EVVE (q) Verified employment, wage, and insurance data (r) Veteran's Administration (s) Claim number and income of retirees of from Railroad, Civil Service, Teachers or State Employment (t) Eligibility status in other states (u) Legal monetary settlements. Key: 60915   XRef: TRU031

9.4.3 Navigation

1. The system shall support a "Self Service Web Portal" website that affords the general public access to up-to-date information 24/7. Key: 60934   XRef: TRU032

2. The system portal shall be designed to provide information in a self-service/self-help format for all applicants/beneficiaries through the use of a knowledge base model and extended use of help features. Key: 60929   XRef: TRU033

3. The system shall allow access to the "Self Service Web Portal" website from any location that has internet access limited to online application and associated links necessary to complete an application, renewal, or make changes to needed information. Key: 60940   XRef: TRU034

4. The system shall automatically link screens used in conjunction with each other (e.g., demographics, household composition). Key: 60936   XRef: TRU035

5. The system shall implement a single unified interface for all applicant data that would make access to the information available to all authorized workers and automated processes such as access to program integrity case results by other authorized units in cases of applicant and provider eligibility/enrollment activities. Key: 60928   XRef: TRU036

6. The system shall provide an online help with descriptive error messages for all online errors. Key: 60938   XRef: TRU037

7. The system shall provide language translation such as English and Spanish for the online application, online help, error messages, and associated links necessary to complete an application, renewal, or make changes to needed information. Key: 60926   XRef: TRU038

8. The system shall provide online assistance to applicant/recipients in checking eligibility status, applying for benefits or making/reporting a change via an online tool such as Chat. Key: 60931   XRef: TRU039

9. The system shall allow authorized workers to review and make edits to documents created in programs such as Word, Excel, PowerPoint, and OneNote from a supported web browser such as Internet Explorer, Firefox, Safari, Lynx, Chrome, and Opera. Key: 60927   XRef: TRU042

10. The system shall allow authorized workers to maintain documents offline and synchronize any changes made to the documents once connected. Key: 60933   XRef: TRU043

11. The system shall allow authorized workers located in different locations to share, edit, and comment on documents with their smart phones, PDAs, etc., without losing any formatting or content. Key: 60930   XRef: TRU044

12. The system shall present data entry fields as standard codes and descriptions in accordance with the accessibility standards. Key: 60935   XRef: TRU045

13. The system shall have the ability to easily update and edit features for reference tables such as allowing authorized workers online update capability to all reference databases whereby the update authorization may be to a single reference database, selected reference databases, or all reference databases for a single user. Key: 60939   XRef: TRU046

14. The system shall provide maintenance screens for updating annual Cost Of Living Allowances (COLA). Key: 60937   XRef: TRU047

14. The system shall ensure that intake, application, eligibility, enrollment and case maintenance data is integrated and seamless to the worker. Key: 60932   XRef: TRU048

9.4.4 UI Tools

1. The system shall employ a graphical user interface (GUI) that allows free movement throughout the system using pull-down menus, point and click navigation, and hot links for easy navigation between pre-determined screens. Key: 60941   XRef: TRU049

2. The system shall make major functionality accessible within two clicks from the navigational menu or link. Key: 60954   XRef: TRU050

3. The system shall allow the worker to open up multiple read/write windows for the same session. Key: 60955   XRef: TRU052

4. The system shall present long lists of records such as search results and lists of tasks in smaller groups with next/back functionality to minimize scrolling and page size. Key: 60948   XRef: TRU053

5. The system shall provide the worker an easily viewed navigation structure that allows them to know where they are at all times such as access to the home page and logout from anywhere within the system. Key: 60946   XRef: TRU054

6. The system shall provide sort by column functionality for all tabular or grid displays. Key: 60956   XRef: TRU055

7. The system shall require internet pages to link to Intranet sites with an appropriate warning or disclaimer to the public that they are about to enter a secured area and may not have access. Key: 60947   XRef: TRU056

8. The system shall provide edit checks which inform the applicant of required data for submission of application using a mechanism that does not impede the business process flow because information is missing. Key: 60944   XRef: TRU057

9. The system shall provide edit checks which inform the worker of required data for eligibility determination using a mechanism that does not impede the business process flow because information is missing. Key: 60945   XRef: TRU057.1

10. The system shall allow an authorized worker to copy, cut and paste text from applications that support the clipboard function into system narratives and vice versa. Key: 60949   XRef: TRU058

11. The system shall allow for screens that update data a means to exit without updating. Key: 60957   XRef: TRU059

12. The system shall clearly indicate the available exit method(s) on each screen to the worker in a standard format. Key: 60953   XRef: TRU060

13. The system shall allow forward/backward movement in multiple screen displays. Key: 60958   XRef: TRU061

14. The system shall allow all search results screens the capability to view and return the details associated with any specific search results. Key: 60951   XRef: TRU062

15. The system shall provide the ability to perform full word processing activities in any free form text field such as spelling/grammar checking and suggestions, bold/italicized font, underlining, copy/cut and paste. Key: 60943   XRef: TRU063

16. The system shall be fully compatible with the latest version of all major internet browsers such as Microsoft Internet Explorer, Mozilla Firefox, Apple Safari, etc. Key: 60950   XRef: TRU064

17. The system shall have the capability to generate and broadcast special notices upon demand such as for Hurricane or disaster information. Key: 60952   XRef: TRU066

18. The system shall provide the ability to propagate an update such that when a change is made to a designated global/master screen, the change will be translated and populated on other associated screens automatically. Key: 60942   XRef: TRU067

9.4.5 Rules Engine

1. The system shall maintain rules information resident in the database repositories in Plain English that include codes, policy, edits, audits, and other criteria that will control and enforce required operational processing. Key: 60961   XRef: TRU068

2. The system shall provide a user-friendly, graphical front-end to the rules engine, enabling designated Agency workers to easily connect and apply, or disable, business rules more quickly; and usually without programmer intervention such as the ability to easily add new certifying agencies, new codes, and new indicators. Key: 60959   XRef: TRU069

3. The system shall provide view access to business rules and print capability to authorized workers through use of GUI views such as to view business rules for system exceptions online and to trace exception rule dependencies. Key: 60960   XRef: TRU070

4. The system shall provide a debugging process that automatically analyzes and identifies logical errors such as conflict, redundancy and incompleteness across business rules. Key: 60963   XRef: TRU071

5. The system shall allow for business rules to be tested against production data prior to installation (i.e., model office environment). Key: 60969   XRef: TRU072

6. The system shall allow for the tracking and reporting of business rules usage. Key: 60975   XRef: TRU073

7. The system shall allow for business rules to be implemented in a real-time environment, and applied immediately upon approval, if desired. Key: 60966   XRef: TRU074

8. The system shall provide the capability to manage implementation timing of the business rules, i.e. date driven by a "from" and "through" designation including open-ended end-dates. Key: 60974   XRef: TRU075

9. The system shall provide a modular structure so that the same Rules Engine can be used by different services or be called as a service itself. Key: 60965   XRef: TRU078

9. The system shall allow for rules to be date specific such as date added, date modified, start date, end date, and effective date. Key: 60971   XRef: TRU076

9. The system shall ensure all business rules and codes are date driven by a "from" and "through" designation including open-ended end-dates. Key: 60967   XRef: TRU077

10. The system shall contain a process for a built-in multi-level rule review and approval process that will identify any conflicts in business rules as they are being developed. Key: 60962   XRef: TRU079

11. The system shall provide edit processes that allow business rules to be configured by a trained business analyst and not hard coded in the system. Key: 60964   XRef: TRU080

12. The system shall configure all edits and audits in the system so that the beginning and ending effective dates of the edits are defined. Key: 60968   XRef: TRU081

13. The system shall support the ability to test actual or potential changes to business rules and procedures to allow designated Agency workers to perform hypothetical testing, scenario modeling, and "what if" analysis that tests the impact of a proposed business rule change resulting from policy or legislative changes. Key: 60972   XRef: TRU082

14. The system shall store all business rules maintenance requirements in an audit trail that provides a history of the rules changes. Key: 60970   XRef: TRU083

15. The system shall provide the ability to easily add new certifying agencies, new codes, and new indicators. Key: 60973   XRef: TRU084

9.4.6 Workflow Management

1. The system shall document and maintain definition and modeling of workflow processes and their constituent activities in a workflow management module. Key: 60984   XRef: TRU085

2. The workflow management software shall support priorities, security alerts, and multi-routing of tasks such as escalation to multiple layers of management. Key: 60983   XRef: TRU086

3. The system shall support end-to-end workflow design based on the bottom-up approach such that the required metrics, (i.e. date/time or cost related field(s)), are embedded or built into the definitions of the workflows themselves so that it can be used to collect and record data for purposes of measuring business performance. Key: 60980   XRef: TRU087

4. The system shall provide the capability to view performance charts/diagrams on workflow processes in real-time such as histograms, run charts, trending run charts, pareto charts, and process capability calculations according to role-based security level. Key: 60991   XRef: TRU088

5. The system shall provide flexibility in the workflow to allow access to other areas of the system outside of the workflow without loss of data. Key: 60985   XRef: TRU089

6. The system shall support configurable and modifiable workflow of screens without changing program code. Key: 60990   XRef: TRU090

7. The system shall contain automated workflow management capabilities for routing, reviewing, tracking, and updating. Key: 60986   XRef: TRU091

8. The system shall provide a rules-based workflow engine that supports workflow access, assignments, and execution. Key: 60987   XRef: TRU092

9. The system shall include run-time control functions for managing the workflow process in the Recipient Subsystem operational environment and sequencing the various activities to be handled as part of each process. Key: 60977   XRef: TRU093

10. The system shall include run-time interactions with workers and Information Technology (IT) application tools for processing the operational activity steps. Key: 60982   XRef: TRU094

11. The system shall include a user-friendly GUI for process definition, execution, monitoring, and management. Key: 60989   XRef: TRU095

12. The system shall provide the ability to utilize user-defined templates that support various workflow processes. Key: 60988   XRef: TRU096

13. The system shall provide the ability to link together separate workflow records, or customer service requests, based upon beneficiary or other entity ID, tracking number, case number, and other criteria specified by the Agency. Key: 60976   XRef: TRU097

14. The system shall accept documents through various input methods such as: (a) Web Portal (b) E-mail (c) FAX (d) Internal creation from Personal Computers (PCs) (e) Imaging (f) System generated (g) Mailroom Key: 60978   XRef: TRU098

15. The system shall provide a unified content management solution with versioning capabilities and appropriate change control, using appropriate industry standard technologies. Key: 60981   XRef: TRU099

16. The system shall provide the ability to log every step in the process to a database, for query and reporting purposes such as employee production reporting and identification of low confidence areas. Key: 60979   XRef: TRU100

9.4.7 Error Handling/Validation

1. The system shall determine the Application Tracking Number (ATN) when an application is first saved and stores the ATN with the application in the following format: RRJJJJJSSSSSS where RR (region) will indicate if it was submitted on paper or through the web app, JJJJJ will indicate ?, and SSSSSS will indicate a unique sequence number. Key: 60999   XRef: TRU101

2. The system shall perform field and relationship editing on all data entered on the application such that all dates are valid. Key: 60996   XRef: TRU102

3. The system shall perform special editing on SSN such as: (a) No duplicate SSN on same application for different people (b) No patterns such as 123123123, 123456789, 111111111, 222222222 etc. (c) worker will have to type SSN twice when added to the system and the system will not allow copy/paste the second time (d) First SSN entered will be changed to display as asterisks once they tab to next field. Key: 61001   XRef: TRU103

4. The system shall be designed to eliminate duplicate records. Key: 61000   XRef: TRU104

5. The system shall display relevant errors or exceptions in plain English with a clear description of the message when system processing anomalies occur. Key: 60994   XRef: TRU105

6. The system shall include the ability to provide information to the State of Alabama's system monitoring tools so failures in hardware, software, and application components can be detected and sent out as alerts for example, to provide sufficient logging data to identify system issues and to allow remote testing tools to run scenarios in the application to detect performance or functional issues. Key: 60997   XRef: TRU106

7. The system shall record all error messages in the error log. The error message should include the module in which the error occurred, a descriptive reason for the error, an image of the data associated with the error, and unique identification for submission errors such as data that is incomplete or inconsistent with data field requirements. Key: 61002   XRef: TRU107

8. The system shall provide agency workers with a mechanism to electronically forward error messages, screenshots, etc. to the Help Desk. Key: 60995   XRef: TRU108

9. The system shall provide an easy to use method for maintenance of error messages by authorized technical staff (i.e., modifying the verbiage of the message). Key: 60993   XRef: TRU109

10. The system shall provide an editing and validation function to support the correction of any data entry errors such as directing the worker to the location where data entry error(s) occur. Key: 60992   XRef: TRU110

11. The system shall prompt the worker when the worker attempts to close a window that has unsaved changes. Key: 60998   XRef: TRU111

10.0 Data Warehouse

10.1 Vendor

1. The vendor shall provide a data warehouse independent of the Recipient Subsystem. Key: 61198   XRef: DWV01

2. The vendor shall provide a suite of data warehouse products. Key: 61199   XRef: DWV02

3. The vendor shall provide the environment or environments to support the data warehouse such as:

a. Production - Environment used to deploy the integrated data warehouse production solution;

b. Test - Environment used to perform full-scale system integration testing for the integrated data warehouse solution;

c. Development - Environment used to develop and unit test all software contained within the integrated data warehouse solution;

d. User Acceptance Testing (UAT) - Environment used to test the applications and data provided within the integrated data warehouse solution;

e. Training - Environment used to support user training of applications within the integrated data warehouse solution;

f. Failover - Environment used to support the business continuity failover capabilities;

g. Back/Recovery - Environment used to support the business continuity back/up capabilities; and

h. Disaster/Recovery - Environment used to support the business continuity disaster recovery capabilities.

Key: 61200   XRef: DWV03

4. The vendor shall provide all hardware including servers, tape devices, storage, etc. and associated operating systems. Key: 61201   XRef: DW04

5. The vendor shall provide all network hardware and software components. Key: 61202   XRef: DWV05

6. The vendor shall provide all software, including file system, system utilities, and tool, application (both Commercial-off-the-shelf-software (COTS) and custom). Key: 61203   XRef: DWV06

7. The vendor shall provide all database management system software. Key: 61204   XRef: DWV07

8. The vendor shall provide data marts from the recipient subsystem each of which represent different business processes of Beneficiary Services. Key: 61205   XRef: DWV08

9. The vendor shall establish an extraction process of relevant data from the recipient subsystem. Key: 61206   XRef: DWV09

10. The vendor shall define OLAP cubes prior to implementation of the RS data warehouse. Key: 61207   XRef: DWV10

11. The vendor shall perform an analysis and provide recommendations of those reports to be produced in the data warehouse rather than the Recipient Subsystem. Key: 61208   XRef: DWV11

10.2 Data Warehouse

1. THe RS data warehouse shall seamlessly integrate with the Recipient Subsystem

Key: 61209   XRef: DWH12

2.

The RS data warehouse shall have OLAP cubes that will provide an optimized data index strategy for the dimensions.

Key: 61210   XRef: DWH13

3.

The RS data warehouse shall have capacity to perform trend analysis.

Key: 61211   XRef: DWH14

4.

The RS data warehouse shall have the capacity to perform statistical anlysis such as regression, correlation, comparative, and normative analysis.

Key: 61212   XRef: DWH15

5.

The RS data warehouse shall have the capability to perform analysis using neural network (learning) tools.

Key: 61213   XRef: DWH16

6.

The RS data warehouse shall have capacity to perform data mining.

Key: 61214   XRef: DWH17

7.

The RS data warehouse shall allow the worker to drill-through to the detail contained in the dimensional schema.

Key: 61215   XRef: DWH18

8.

The RS data warehouse shall include drill down and sort capabilitites to view components of online summary reports.

Key: 61216   XRef: DWH19

9.

The RS data warehouse shall be designed for ease of use for all of the data warehouse users, regardless of their skill level.

Key: 61217   XRef: DWH20

10.

The RS data warehouse shall support MS SSAS and MS BIDS as the business intelligence tools to provide intuitive wizards for building integration, reporting, and analytic solutions in a unified environment.

Key: 61218   XRef: DWH21

11.

The RS data warehouse shall construct data marts that conform to standard data bus architecture.

Key: 61219   XRef: DWH22

12.

The RS data warehouse shall consist of star schemas which are built around FACTS and dimensions.

Key: 61220   XRef: DWH23

13.

The RS data warehouse shall have the capacity to serve as a foundation for new data marts that may be added in the future.

Key: 61221   XRef: DWH24

14.

The RS data warehouse shall have the ability to receive and incorporate data from new sources.

Key: 61222   XRef: DWH25

15. The system shall have the data readily available for extraction without impacting system performance data to the Applications Data Warehouse at intervals defined by the State. Key: 60732   XRef: TRA037

16. The system shall allow authorized workers to have direct access to the Applications Data Warehouse through the application. Key: 60734   XRef: TRA038

17. The system shall provide the ability workers to produce statistical reporting with functionality that is similar to DSS that incorporates both Recipient Subsystem interChange data. Key: 60731   XRef: TRA039

19. The RS data warehouse shall import, transform, cleanse and load data. Key: 61223   XRef: DWH27

20. The RS data warehouse shall provide ability to quickly modify the data warehouse, data marts and queries using web based tools. Key: 61224   XRef: DWH28

21. The RS data warehouse shall have the capability to export data. Key: 61225   XRef: DWF29

22. The system shall have the capability to provide a decision support system that incorporates the following: AMAES data, MSIS (MAS/BOA) and AMMIS data. Key: 60733   XRef: TRA040

23. The RS data warehouse shall comply with the following State of Alabama Medicaid Agency Guidelines and standards such as Database Coding Guidelines, Database Naming Standards, Development and Maintenance for Database (IS-NSPP-0005), Handling Special Request (IS-NSPP-0004), Handling Database Objects (IS-NSPP-0005), and Development and Maintenance of Web Application (IS-NSPP-0010). Key: 61226   XRef: DWN30

24. The RS data warehouse must be structure to where data is legible. Key: 61227   XRef: DWH31

25. The RS data warehouse shall provide reports for each program in/under Beneficiary Services that can be run for a particular program or across programs. Key: 61228   XRef: DWH32

26. The RS data warehouse shall generate statistical reports as defined by the agency. Key: 61229   XRef: DWH33

27. The RS data warehouse shall provide a comprehensive reporting solution that will generate standard operating, pre-defined or operational reports without an adverse effect on system performance or response time to include ad-hoc, dashboards, and pre-defined reports. Key: 61230   XRef: DWH34

28. The RS data warehouse shall produce all state and federal reports, including the functional equivalents of all currently produced reports listed in the Procurement Library. Key: 61231   XRef: DWH35

29. The RS data warehouse shall provide the capability to generate managerial reports based on tracking of specific denial and termination reasons, and awards by program for individuals and cases. Key: 61232   XRef: DWH36

30. The RS data warehouse shall produce a cumulative report with very specific worker activities in the form of a statistical performance report based on time parameters sorted by worker/supervisor/catchment area on a weekly, monthly, quarterly, yearly (fiscal and/or calendar) basis and on request. Key: 61233   XRef: DWH37

31. The RS data warehouse shall generate standardized management reports as defined by the Agency. Key: 61234   XRef: DWH38

32. The RS data warehouse shall provide management reports that both cumulate (i.e. roll-up) and individualize data from individual workers. Key: 61235   XRef: DWH39

33. The RS data warehouse shall generate standardized eligibility reports such as applications processed, denied, approved; benefits; characteristics of applicants; canned reports. Key: 61236   XRef: DWH40

34. The RS data warehouse shall allow authorized workers to view individual worker's daily, monthly, quarterly, etc. activity reports. Key: 61237   XRef: DWH41

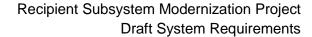# 11.0 Enterprise Content Management (ECM)

11.1 ECM Capture

1. The ECM capture component shall have multiple user scanning capability and shall support scanning from multiple remote offsite locations. Key: 60147   XRef: IEC013

2. The ECM shall have the capability to scan the front and back of documents, while skipping blank pages, in a single pass. Key: 60151   XRef: IEC014

3. The ECM shall have the capability to skip blank pages while scanning multi-page documents in a single pass. Key: 60153   XRef: IEC014.1

4. The ECM shall have the capability to support validation of scanning to ensure accuracy such as proper posting, quality of documents posted (legible), and two-sided copies captured. Key: 60161   XRef: IEC034

5. The ECM shall have the ability to capture digital information contained in a fax and convert into an image and searchable text stream that can be uploaded into the system. Key: 60143   XRef: IEC015

6. The capture software used to support the ECM shall have a resolution of not less than 300 dots per inch (DPI), and shall support variable resolution configuration and multiple compression algorithms including. At a minimum:

- 100 DPI
- 300 DPI
- 600 DPI
- 1200 DPI
- 2400 DPI
- TIFF
- POF
- JPEG

Key: 60137   XRef: IEC016

7. The ECM will support capture of multimedia including voice and video and associated codices including MP3, MP4, DIVX and MKV. Key: 60149   XRef: IEC017

8. The ECM shall support both 2D and 3D barcode automated indexing and shall extract important information such as machine-printed text, bar codes, hand-printed words and checked boxes. Key: 60140   XRef: IEC018

9. The ECM shall provide for automatic indexing wherever possible using OCR and other data recognition methods. Key: 60154   XRef: IEC018.1

10. The ECM shall feature a system match and merge of incoming and system data that can be used to populate index fields. Key: 60152   XRef: IEC019

11. The ECM shall also have the capability to allow manual indexing of each document into the appropriate case file by document type preferably by using a drop down list. Key: 60144   XRef: IEC020

12. The ECM shall provide the capability for authorized workers to create and maintain selection lists for all supported data types (e.g., drop-down lists) for metadata items that are constrained to a pre-defined set of data. Key: 60160   XRef: IEC033

13. The ECM shall allow only authorized workers to designate the metadata fields to be constrained to selection lists. Key: 60167   XRef: IEC040

14. The ECM shall have the capacity to auto-correct or allow manual correction of document indexing errors. Key: 60155   XRef: IEC021

15. The ECM shall have the capability to add new index categories based on role permissions. Key: 60157   XRef: IEC022

16. The ECM shall allow elements that are copied to be maintained separately to facilitate search, retrieval, transfer, and archival. These include: a)   Transmission and Receipt Data b)

Transmission and Receipt Data E-mail Record Metadata Field Name c)   The intelligent name, the clear, uncoded, identifications of the sender d)   E-mail Sender, may be mapped to Author or Originator e)   The intelligent name of all primary addressees (or distribution lists) f)   E-mail Addressee, may be mapped to Addressee(s) g)   The intelligent name of all other addressees (or distribution lists) h)   E-mail Other Addressee, may be mapped to Other Addressee(s) i)   The date and time the message was sent. E-mail Date Sent, may be copied as Publication Date j)   For messages received, the date and time the message was received (if available) k) E-mail Date Received, may be mapped to Date Received l) The subject of the message. E-mail Subject may be mapped to Subject, and optionally as Title Key: 60146   XRef: IEC023

17. The ECM shall provide user-selectable options of filing e-mail and e-mail attachments as a single record, filing selected e-mail items as worker records, or doing both. When the attachments are filed as worker records, the worker shall be provided the capability to enter the metadata. Key: 60150   XRef: IEC024

18. The ECM shall not allow separate filing of Object Linking and Embedding (OLE) objects embedded in the body of the e-mail message. Key: 60148   XRef: IEC025

19. The ECM component shall support capture extensions that permit the worker to file email directly from their email applicant/recipient into the electronic case file. Key: 60145   XRef: IEC026

20. The ECM shall automatically link e-mail records to their attachments when both are filed separately. Key: 60156   XRef: IEC027

21. The ECM shall provide graphical user interface capabilities that allow an authorized worker to map additional standard-compliant e-mail application header fields to record metadata fields. Key: 60139   XRef: IEC028

22. The ECM shall allow for the implementation of discovery meta-tagging. This requirement implies the capability for adding Organization-Defined metadata fields, modifying existing field labels, and mapping data fields to standard transfer format fields. Key: 60142   XRef: IEC029

23. The ECM shall scan mixed batches of black & white, color documents, photos, ID cards (e.g., health insurance cards, driver licenses) and multiple paper sizes without having to presort them or process them separately Key: 60138   XRef: IEC031

24. The ECM shall have the capability to scan documents into the system and associate them with specific applications, and organize in appropriate folders or categories such as income. Key: 60141   XRef: IEC032

25. The ECM shall have the ability to capture paper or microfilm and convert to a Portable Document format (PDF). Key: 60235   XRef: IEC092
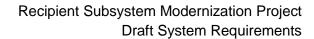
11.2 ECM Manage

1. The ECM component shall automatically clean and optimize images. Key: 60158   XRef: IEC030

2. The ECM shall have the capability to apply annotation (e.g. highlighting, notes or comments) and redaction to static images. Key: 60170   XRef: IEC042

3. The system shall provide the option to apply, masks, redaction and display annotation based upon the security role of the authenticated user. Key: 60169   XRef: IEC043

4. The ECM shall feature the following common viewer features: zoom in/out, rotate, and scroll through thumb nail images. Key: 60234   XRef: IEC093

11.3 ECM Collaboration

1. The ECM shall have the capability to interact seamlessly with a web-based portal. Key: 60168   XRef: IEC035

2. The ECM shall provide customizable components / web-parts that can be consumed seamlessly within a WSRP web based portal. Key: 60166   XRef: IEC036

3. The ECM shall allow authorized workers to have access to documents they are allowed to access stored on the portal related to their assigned applicant/eligible cases. Key: 60164   XRef: IEC037

4. The ECM shall have the ability to support applicable security compliance standards and enforce all users and role based authentication and delegated security and access privileges defined in the system. Key: 60162   XRef: IEC041

5. The ECM shall provide a web service interface and provide access points to the eligibility system to allow the authorized worker to view/change applicant/recipient and/or case data. Key: 60163   XRef: IEC038

6. The ECM shall include the capability to provide open standards interfaces in order to integrate into an organization's information technology enterprise. Key: 60165   XRef: IEC039
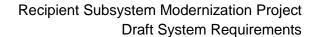
11.4 ECM Records Management

1. The ECM shall allow only authorized workers to define the cut-off criteria and, for each life cycle phase, define the following disposition components for a record category: a)   Retention period (e.g., fiscal year or calendar year) b)   Disposition action (interim transfer, accession, or

destroy) c)   Location of interim transfer or accession location (if applicable) d)   Schedule and reschedule records and/or record folders. Mandatory disposition types include: i.   Time Dispositions. A cyclical process where records are eligible to enter their disposition lifecycle immediately after the conclusion of a fixed period of time following organization-defined cut-off (e.g., days, months, years). ii.   Event Dispositions. A unique event(s) process where records are eligible for disposition immediately after a specified event takes place (i.e., the event acts as cut-off and there is no retention period). iii.   Time-Event Dispositions. A unique event(s) process where the timed retention periods are triggered after a specified event takes place (i.e., the event makes the record folder eligible for closing and/or cut-off and there is a retention period). Key: 60178   XRef: IEC044

2. The ECM shall allow authorized workers to indicate when the specified event has occurred for records and folders with event- and time-event-driven dispositions. Key: 60182   XRef: IEC045

3. The ECM shall provide the capability to identify in a summarized report, record folders eligible for cut-off and present them only to the authorized worker(s) for cut-off approval. Key: 60176   XRef: IEC046

4. The system shall provide in the summarized report, dynamic linkages to the record folders to view contents of folders eligible for cut-off. Key: 60186   XRef: IEC046.1

5. The ECM shall provide the capability to implement cut-off instructions for scheduled and unscheduled record folders. Key: 60191   XRef: IEC047

6. The ECM shall provide the capability to cut-off and start the first disposition phase of a record or folder life cycle as controlled by the disposition instruction attached to the file plan record category or records schedule. Key: 60173   XRef: IEC048

7. The ECM shall support multiple events per disposition instruction by requiring that one or more be necessary to trigger cut-off, retention and/or interim transfer actions. Key: 60179   XRef: IEC049

8. The ECM shall provide the capability to allow only authorized workers to add records or make other alterations to record folders that have been cut-off. Key: 60184   XRef: IEC050

9. The ECM shall provide for sorting, viewing, saving, and printing lists and partial lists of unscheduled record folders and/or records. Unscheduled items have no approved final disposition but may be cut-off and subject to interim transfer. Key: 60171   XRef: IEC051

10. The ECM shall allow authorized workers to close record folders to further filing after the specified event occurs. Key: 60193   XRef: IEC052

11. The ECM shall allow only authorized workers to add records to a previously closed record folder and to reopen a previously closed record folder for additional filing. Key: 60180   XRef: IEC053

12. The ECM shall provide the capability for only authorized workers to extend or suspend (freeze) the retention period of record folders or records beyond their scheduled disposition. Key: 60177   XRef: IEC054

13. The ECM shall provide a metadata element for authorized workers to enter the reasons for freezing and dates frozen for a record or record folder. (For example freezing a record to delay archiving of information needed for a hearing.) Key: 60172   XRef: IEC055

14. The ECM shall use the three letter freeze codes used by the National Archives and Records Administration (NARA) Federal Record Centers as well as State-specific codes. (http://www.archives.gov/frc/) Key: 60174   XRef: IEC056

15. The ECM shall identify record folders and/or records that have been frozen and provide designated records management manager the capability to unfreeze them. Key: 60183   XRef: IEC057

16. The ECM, in conjunction with the freeze, shall restore unfrozen records and/or record folders to the calculated phase of their lifecycle as if they were never frozen. Key: 60181   XRef: IEC058

17. The ECM shall allow authorized workers to search, update, and view the reasons for freezing a record or record folder. Key: 60190   XRef: IEC059

18. The ECM shall provide the capability to identify and view those records and record folders eligible for interim transfer and/or accession. Key: 60187   XRef: IEC060

19. The ECM shall allow for records approved for interim transfer or accession that are stored in the ECM supported repositories to copy the pertinent records and associated metadata of the records and their folders to a filename, path, or device specified by a worker with permissions to facilitate the transfer. (Example: Retrieve a frozen or archived record and add to it.) Key: 60185   XRef: IEC061

20. The ECM shall allow for records approved for accession, that are not stored in an ECM supported repository to copy the associated metadata for the records and their folders to a filename, path, or device specified by a worker with permissions to facilitate the transfer. Key: 60189   XRef: IEC062

21. The ECM shall allow only authorized workers to delete the records and/or related metadata after successful transfer has been confirmed for records approved for interim transfer or accession. Key: 60175   XRef: IEC063

22. The ECM shall provide the capability to allow the organization to retain the metadata for records that were transferred or accessioned. Key: 60188   XRef: IEC064

23. The ECM shall provide documentation of transfer activities in an electronic format that can be saved as a record. Key: 60194   XRef: IEC065

24. The ECM shall provide the capability for bulk updating of record and folder metadata as a result of transfer actions. Key: 60192   XRef: IEC066

11.5 ECM Store

1. The ECM shall have the ability to compress data to reduce the length of time it takes to transmit data. Key: 60199   XRef: IEC071

2. The ECM shall support storage of renditions of content using multiple loss and losless compression algorithms for example TIFF, PDFJ,PEG, MP3, etc. Key: 61238   XRef: IEC071.1

3. The ECM shall have the ability to store both the original and compressed renditions of content. Key: 61239   XRef: IEC071.2

4. The ECM shall date stamp and log every access occurrence on a document in order to create the audit trail required for HIPAA compliance. Key: 60204   XRef: IEC072

5. The ECM shall not require workers to save attachments to a hard drive or other media prior to filing them separately from the e-mail message. Key: 60203   XRef: IEC073

6. The ECM shall identify and present to the records manager the record folders and records, including record metadata, that have met the retention period. Key: 60202   XRef: IEC074

7. The ECM shall retain and link records assigned more than 1 disposition to the record folder (category) with the longest retention period. Links to record folders (categories) with shorter retention periods should be removed as they become due. Key: 60206   XRef: IEC075

8. The ECM shall present a second confirmation requiring authorized workers to confirm the delete command before the destruction operation is executed for records approved for destruction. Key: 60200   XRef: IEC076

9. The ECM shall delete electronic records approved for destruction in a manner that prevents their physical reconstruction using commonly available file restoration utilities. Key: 60201   XRef: IEC077

10. The ECM shall provide an option allowing the organization to select whether to retain or delete the metadata of destroyed records. Key: 60205   XRef: IEC078

11. The ECM shall restrict the records destruction commands to authorized workers. Key: 60208   XRef: IEC079

12. The ECM shall provide documentation of destruction activities that will be stored as records. Key: 60207   XRef: IEC080

11.6 ECM Workflow

1. The ECM shall provide a scripting capability to allow only authorized workers to attach simple process actions such as alerts and notifications to any or all metadata fields or to restrict record access based on the content of fields. Key: 60195   XRef: IEC067

2. The ECM shall feature document integrity functionality such as check in/out and version control. Key: 60197   XRef: IEC068

3. The ECM shall have the capability to accept and file records from producing applications and provide support to the organization's workflow. Key: 60196   XRef: IEC069

4. The ECM shall support recurring events (e.g., recertification). Key: 60198   XRef: IEC070

11.7 ECM Preserve

1. The ECM shall meet federal and state records retention standards. Key: 60219   XRef: IEC081

2. The system shall support the request for records as defined by the Alabama Public Records Law Statutes Code §41.13.1 - 41.13.44 Key: 60215   XRef: IEC082

3. The ECM shall provide for sorting, viewing, saving, printing, identification, search, retrieval, display, archiving and linking of record folder metadata and/or record metadata regardless of media based on any combination of record category, disposition, folder and/or record metadata including organization-defined metadata and system generated metadata. Key: 60211   XRef: IEC083

4. The ECM shall provide for sorting, viewing, saving, and printing life cycle information, cut-off eligibility dates, and events of user-selected record folders and records. Key: 60209   XRef: IEC084

5. The ECM shall allow the worker to select and order the columns presented in screening result lists. Key: 60216   XRef: IEC085

6. The ECM shall allow authorized workers the capability to enter a reference "as-of" date to support screening of future lifecycle actions. Key: 60212   XRef: IEC086

7. The ECM shall allow authorized workers to enter the records review and update cycle period when creating or updating the file plan. Key: 60214   XRef: IEC087

8. The ECM shall have the capability for authorized workers to enter the date when the records associated with a records folder have been reviewed and updated. Key: 60210   XRef: IEC088

9. The ECM shall have a means for identifying and aggregating records due for cycling. Key: 60218   XRef: IEC089

10. The ECM shall have a means for identifying and aggregating records by previous cycle dates. Key: 60217   XRef: IEC090

11. The ECM shall provide the capability to allow an authorized worker to enter a reference "as-of" date to plan for future review cycles. Key: 60213   XRef: IEC091

11.8 ECM Search

1. The ECM shall leverage the use of digital signature technology to validate and authenticate any digital transmission, in accordance with the Uniform Electronic Transactions Act (UETA), and in accordance with Alabama 2001 Ala. Code §8-1A-1 et seq. (UETA was developed by the National Conference of Commissioners on Uniform State Laws to provide a legal framework for the use of electronic signatures and records in government or business transactions. UETA makes electronic records and signatures as legal as paper and manually signed signatures.) Key: 60223   XRef: IEC094

2. The ECM shall allow workers to browse and search the records stored in the file plan based on their user access permissions. Key: 60231   XRef: IEC095

3. The ECM shall allow searches using any combination of the record category, record and/or folder metadata elements, including organization-defined and system-generated metadata. Key: 60229   XRef: IEC096

4. The ECM shall allow authorized workers to search records by name, SSN, recipient ID, case ID, worker ID, worker name, document type, date, date ranges, case action type, or any combination of the above. Key: 60225   XRef: IEC096.1

5. The ECM shall allow the worker to specify partial matches and shall allow designation of "wild card" fields or characters. Key: 60233   XRef: IEC097

6. The ECM shall allow searches using combinations of Boolean and relational operators:"and," "and not," "or," "greater than" (>), "less than" (<), "equal to" (=), "not equal to" (<>), is blank, is null, not blank, and not null, and shall provide a mechanism to override the default (standard) order of precedence. Key: 60221   XRef: IEC098

7. The ECM shall present the worker with a list of records and/or folders meeting the retrieval criteria, or notify the worker if there are no records and/or folders meeting the retrieval criteria. Key: 60228   XRef: IEC099

8. The ECM shall allow the worker to select and group results, and to order the columns presented in the search results list for viewing, transmitting, printing, etc. Key: 60230   XRef: IEC100

9. The ECM shall provide to the worker's workspace (filename, location, or path name specified by the worker) copies of electronic records, selected from the list of records meeting the retrieval criteria, in the filing format in which they were provided to the ECM for filing, and shall not require that applications necessary to manipulate the records be installed on the retrieving workstation. Key: 60226   XRef: IEC101

10. The ECM shall provide the capability for filed e-mail records to be retrieved back into a compatible e-mail application for viewing, forwarding, replying, and any other action within the capability of the e-mail application. Key: 60222   XRef: IEC102

11. The ECM shall provide authorized workers a choice of retrieving filed records to their workspace or into a compatible application for viewing, editing, and any other action within the capability of the application. Key: 60224   XRef: IEC103

12. The ECM shall track (log file) automated reason codes for document retrieval to note actions taken by workers including retrieval, print, changes, and make the log available to authorized workers. Key: 60227   XRef: IEC103.1

13. The ECM shall present a list of available versions when the worker selects a record for retrieval. The list shall default to the latest version of the record for retrieval but allow the worker to select and retrieve any version. Key: 60220   XRef: IEC104

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14. The ECM shall allow workers to select any number of records, and their metadata, for retrieval from the search results list. Key: 60232   XRef: IEC105

15. The ECM shall allow the worker to abort a search. Key: 60236   XRef: IEC106